

THE INTERPRETATION OF LITERARY METAPHORS AND SYMBOLS:

A STUDY OF EFL STUDENTS' NEEDS

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ABSTRACT

This thesis reports on an investigation of some of the skills needed by EFL students in order for them to interpret literary metaphors and symbols found in poems written in English.

This exposition is divided into four parts. Part I contains two chapters which introduce this investigation. Part II provides a theoretical description of the recognition and interpretation of literary metaphors and symbols; this description is based on Eco's interpretive schema and my extension of that schema which includes an account of contextual features used for interpretation. Part III discusses subjects' responses to poems with respect to two specific hypotheses; namely, when reading poems written in English, non-native English speakers are less likely than native English speakers to 1) use intertextual referents when producing interpretations, and 2) comprehend the distinctions between literal and metaphorical levels of a poem. And finally, Part IV concludes this exposition with pedagogical implications of my experiments and suggestions for further research.

DECLARATION

The work presented in this thesis is my own.

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PART I

INTRODUCTION

The first part of this thesis consists of two chapters. Chapter 1 gives an introduction to this thesis, stating the hypotheses being tested and describing the methodology, subjects (or informants) and the basic terms. Chapter 2 introduces two areas of linguistic research involved in this study: pragmatics and literary stylistics.

CHAPTER 1

Introduction to Thesis

1.0. Introduction

The aim of this investigation is to suggest some of the skills needed by EFL students in order for them to interpret literary metaphors and symbols found in poems written in English. In addition, this investigation looks at the use of literary stylistics in teaching the needed skills.

The main experiment of this investigation is a needs analysis taken from subjects' interpretations of metaphors and symbols found in Robert Graves' poem "The Garden". Specifically, two skills-related hypotheses are tested; these are as follows:

Hypothesis 1: Non-native English speakers are less likely than native English speakers to use inter-textual referents in producing interpretations of literary metaphors and symbols found in poems written in English.

Hypothesis 2: Non-native English speakers are less likely than native English speakers to comprehend the distinction between literal and metaphorical levels of the content of a poetic text written in English.

These hypotheses were formulated as a result of my pilot study, of which selected portions will be discussed in this thesis.

The scope of this exposition is limited to research in the

teaching of comprehension skills, as opposed to the learning of them. Teaching can be monitored, while learning, on the other hand, involves what is learned both within and outside of the classroom (as noted by Stern, 1983:20). The issue of learning, however, is covered inasmuch as teaching includes 'activities intended to bring about learning' (Stern, p.21).

1.1. Methodology

My research methodology consisted of two phases. In the first phase, the pilot study¹, I used only non-native English speakers from a variety of countries (they will be described in more detail in the next section). Three of the four pilot study groups were taught comprehension skills using theoretical input from literary stylistics. These three groups were taught consecutively over a period of two years, with the *theoretical* input being changed as a result of classroom discussions and subjects' written responses.

The pilot study took place during classroom sessions totaling four hours. These sessions varied according to the aims set for each session. For example, one session was aimed at introducing the field of pragmatics to subjects, while another session was aimed at teaching subjects skills in recognizing possible metaphors. Common to all sessions were explanations of a pragmatic approach, the use of poems

written in English and worksheets with exercises for subjects to practise the desired skills (see Appendices A and D for poems and other classroom materials).

As mentioned earlier, responses from the pilot subjects helped in formulating the two hypotheses tested in this investigation; this contribution of the pilot study will be discussed in Chapter 9. Moreover, the pilot study offers suggestions for the use of literary stylistics in teaching comprehension skills; these suggestions are presented in Chapter 12.

The second phase of my research, referred to as the main experiment, involved testing the two hypotheses stated earlier by using a group of non-native English speakers and a group of native English speakers (these subjects will be described in more detail in the next section). Unlike the first phase, this phase of my research did not include giving subjects theoretical input; the second phase was strictly a needs analysis, which will be discussed in Chapter 10, with pedagogical implications in Chapter 12.

1.2. Group of Subjects

As noted above, for the pilot study I used four groups of subjects from a variety of countries (see subject profile in Appendix C). The subjects of Groups 1 and 3 were students of English as a foreign language, who were attending a

three-week summer course called "Literary Studies", at the Institute for Applied Language Studies (University of Edinburgh). Subjects of Group 2 were foreign students of English Language and Literary Stylistics (ELLS) and Advanced Certificate in English Studies (ACES) (also at the University of Edinburgh), all of whom had commenced their studies of literary stylistics prior to their participation in this investigation. Like subjects of Groups 1 and 3, subjects of Group 4 were students of English as a foreign language at the Institute of Applied Language Studies; Group 4 subjects, however, were attending a course entitled "General English" which included a literary studies option class. Also, unlike subjects of Groups 1, 2 and 3, subjects of Group 4 were not given theoretical input to assist them in *comprehension*, and therefore, served as a control group. Specifically, subjects of Group 4 were asked to respond to the final poem of the programme because it was used with the other pilot groups in order to review the skills taught during the programme (unlike other poems used for skills teaching).

Group 2 could also have acted as a control group for the pilot study because, unlike the other groups, they were attending a course which included the use of theoretical input for the understanding and appreciation of literature, and, thus, had considerably more theoretical input than the other pilot study groups. But, in the end, Group 2 was not used as a control group because their responses did not reveal that they were more familiar with the use of theoretical

input than subjects of the other groups.

For the main experiment I used two groups of subjects: an experimental group of non-native English speakers and a control group of native English speakers. In order to eliminate additional variants, the experimental group consisted only of native Japanese speakers who were first year university students enrolled in an EFL programme at Boston University. My control group of native (American) English speakers were also first year students at Boston University. At the time of this experiment, the experimental group was attending a self- chosen literature course and the control group was attending a general English course (which included writing and reading essays and short stories, with optional readings in poetry). The two groups were similar in that both had subjects ranging in ages nineteen to twenty two, and who studied in fields such as Business Administration, Engineering and the humanities. (For additional information consult subject profile in Appendix C.)

1.3. Definition of Terms

For current purposes, I propose skeletal definitions for the terms literary metaphor and symbol because complex definitions, which these terms merit, require the setting of a theoretical approach.

I define literary metaphor as follows (this definition is in part paraphrased from Davidson, 1979:31):

A metaphor is an expression in which a word or phrase is applied to a thing (an entity or a concept) which it is not literally applicable, with the original meanings of the words remaining active in their metaphorical settings.

For example, in the metaphor 'Man is machine' (used in several places in this investigation), man is not literally a machine, and the meanings of both 'man' and 'machine' remain in order to reveal the implied comparison between the entities.

This definition of metaphors to some extent also applies to symbols. I define symbols as follows:

In a literary symbol, a word or phrase depicting an image (usually of a concrete entity), which has a literal use in a given text, is also applied to a concept to which it is not literally applicable.

Thus, for a literary symbol a word or phrase may be used both literally and , on another level of interpretation, non-literally. By comparison, in a literary metaphor only the non-literal use is intended. For example, the image of a dove, where the image is used literally in a given text, is commonly used non-literally, as a symbol for peace (a concept). But in the example above, 'man' is not intended to be understood literally as a 'machine', only non-literally.

Given the assumption that the relationship between a literary symbol and that which it stands for has a non-literal

use, i.e. the relationship is often described as 'metaphorical' (as in Tindall, 1955 and Eco, 1984), I treat one group of symbols as a type of metaphor. (I also use this classification because it is found in Eco's schema for the interpretation of literary metaphors, on which the theoretical descriptions in this thesis are based.) At the same time, I treat metaphors as distinct from symbols because the two tropes can differ in many ways, as pointed out in the definitions above.

CHAPTER 2

Areas of Linguistic Research

2.0. Introduction

This chapter serves as an introduction to the areas of linguistic research addressed in this thesis. The first section defines pragmatics. The next section looks at the main objectives in literary stylistics, including research in meaning in literature.

2.1. Pragmatics

Morris described semiotics (the study of signalling systems) as made of three divisions: semantics, syntactics and pragmatics (1938:6). Semantics was defined as the study of 'the relations of signs to the objects (to) which signs are applicable'. Morris described syntactics as the study of 'the formal relations of signs to one another'. And pragmatics was defined as the study of 'the relations of signs to interpreters'.

Though Morris' classification is very broad in defining these areas of linguistics, from it there emerges a fundamental distinction, i.e. unlike semantics and syntactics, pragmatics includes the role of interpreters in the use and comprehension of signs. Given that interpreters, or readers,

are central to this investigation, pragmatics has been employed for a theoretical description of literary metaphors and symbols.

A specific definition of pragmatics yields a somewhat difficult task. Levinson (1983:5-35) cites numerous definitions of pragmatics ranging from Gazdar's, 'pragmatics = semantics - (minus) truth-conditions', to the 'Continental' view that pragmatics is an umbrella term covering 'sociolinguistics, psycholinguistics and more' (Levinson, *IBID*).

Perhaps the main difficulty in defining pragmatics is that like semantics it is concerned with meaning. Leech distinguishes pragmatics from semantics by two uses of the verb to mean:

- (1) What does X mean? (2) What did you mean by X?

Semantics traditionally deals with meaning as a dyadic relation, as in (1), while pragmatics deals with meaning as a triadic relation, as in (2) (1983:5-6).

While Leech's assessment of the difference between the two fields of study is helpful, this insight does not establish a clear boundary between the fields. Often (1) and (2) may coincide (as in direct speech acts); there is clearly an overlap between semantics and pragmatics.

Leech is more insightful when he defines pragmatics as 'the study of meaning in relation to speech situations' (p.6). He describes speech situations as composed of five elements:

1. addresser and addressee, 2. context, 3. goals, 4. illocutionary act and 5. utterance. All of these elements are addressed to varying extents in this thesis. For now, I will discuss Leech's fifth element, that of 'utterance', because on its own it can be used for defining pragmatics.

Pragmatics can be defined as the study of utterances. Utterances refer to linguistic 'data prior to and independent of its description within a particular framework' (Lyons, 1977:27). The focus of such analysis is the systematic exchange of meaning among users of a language.

A string of coherently connected utterances is referred to as 'discourse', the representation or record of which is called 'text' (Brown and Yule, 1983:5). Since it is unlikely that one would discuss discourse which is not recorded as a text, it is understandable that the terms 'discourse' and 'text' are often used interchangeably (as pointed out in Stubbs, 1983:9). In this thesis a distinction is recognized on the basis that 'discourse' implies communicative interaction, whether it appears in a written or verbal form, and 'text' denotes a record of a specific instance of communicative interaction made accessible to analysts¹.

The difference between text and discourse may also be expressed in terms of 'product' and 'process'. Text is a product in that it is 'something that can be recorded and

and studied, having a certain construction that can be represented in systematic terms' (Halliday, 1985:10). Discourse is a process in that it is continuous, whereby language ceases to be an object, rather it is an action (Fowler 1981:80).

Analyses of utterances (within texts) require, by definition, the context in which the utterance occurred. Those who define pragmatics disagree as to whether the context should include both extra-linguistic and linguistic context, or strictly the former, leaving linguistic context to the field of semantics. Common to both views is the important role context plays in the description of language use.

Given this introduction to the field of pragmatics, I now turn to the use of pragmatics in this investigation. Within pragmatics this study specifically employs Eco's schema for the interpretation of literary metaphors and symbols (introduced in the next chapter). I will present this schema in the framework of comprehension theories in general (in order to allow for elaborations on Eco's schema). Sperber and Wilson summarize comprehension theories as consisting of three stages:

...one to determine the context involved in the comprehension of an utterance, a second to determine the content on the basis of the context and of linguistic properties of the utterance, and a third to draw the intended inferences on the basis of the content and the context. (1982:61)

In following this, I divide the theoretical portion of this

thesis into three parts: 1) a description of contextual features used for interpretation, 2) a description of the linguistic content, or meaning, found in literary metaphors and symbols and 3) an analysis of inferencing procedures used during such interpretation.

In addition to comprehension, I shall also address the recognition of literary metaphors and symbols. This necessarily needs to be included given the presence of actual readers. In accordance with pragmatic approaches (including Eco's), I use Grice's Cooperative Principle for describing the recognition process.

2.2.1. Literary Stylistics

The theoretical portion of this investigation is not only a pragmatic approach, it also lies in the domain of literary stylistics². Here, I shall briefly look at the general objectives of recent literary stylistics.

As its name suggests, literary stylistics explores linguistic qualities of literary texts. Widdowson captures the distinction between this field of study and the related fields of linguistics and literary criticism as follows:

By 'stylistics' I mean the study of literary discourse from a linguistic orientation and I shall take the view that what distinguishes stylistics from literary criticism on the one hand and linguistics on the other is that it is essentially a means of linking the two and has (as yet at least) no autonomous domain of its own.
(1975:3)

Specifically, literary stylistics is an area of linguistic research in its study of the language used in literary discourse, and stylistics is also an area of literary criticism in its study of the aesthetic value and meaning of literary discourse. In this investigation the area of linguistics employed is pragmatics, which was introduced in the previous section; the ways in which literary criticism plays a part in literary stylistics is here described in general terms.

Like literary criticism, literary stylistics views the relationship between literature and language as having philosophical ramifications (as pointed out in Shukman, 1981). In a comparison of the works of Krause and Mauther, Stern poses two questions which reflect this philosophical interest (quoted from Shukman, p.563). Stern asks if language (and literature) is 'an absolutely reliable indicator of life, acting as an infallible witness to all that happens in the world, part of a preestablished and perhaps even metaphysical harmony between words and actions?', and if language (and literature) is 'metaphorical and therefore inaccurate... and the source of inauthenticity of modern man?'

Although Stern's questions reflect those of literary theory (both stylistics and literary criticism), these questions are of a second-order analysis, where the first order is that of understanding literary discourse. The first order analysis would be based primarily on an analysis of the language. In this respect, I follow Shukman's conclusions on

the role of philosophy in literary practice when she says:

Literary theory cannot ignore philosophy, just as it cannot ignore linguistics and semiotics. But philosophy has something to say about life, while literary theory has to explain and interpret the literary system and only through literature, if at all, to comment on life. (p.569)

In sum, the stylistician's approach to literature involves, first, the use of knowledge pertaining to linguistics and literary conventions in order to arrive at meanings, and, second, an application of the resulting meanings to life experiences. This exposition is primarily concerned with the first of these two processes.

2.2.2. Meaning in Literature

Along with pragmatics and literary stylistics, this thesis also researches the issue of meaning. The complexities of meaning, such as what is meant by meaning per se and the various aspects of meaning, have long occupied philosophers, linguists and literary theorists. In this investigation, I will address only aspects of meaning which have direct bearing on the interpretation of literary metaphors and symbols. In a discussion of the recognition of literary metaphors, I describe literal and figurative meanings (in Chapter 4), while in a description of interpretive processes, I define denotative and connotative meanings (in Chapter 7). These specific aspects of meaning appear in the body of the thesis; for the moment, I shall comment on meaning in literature in a general sense.

In New Literary Criticism (1982) several theorists debated 'the problem of meaning in literary theory'. Unfortunately, this debate turned into terminological warfare. Replies to the lead article by Catherine Belsey attacked her vague use of the terms 'meaning (as pointed out by Bertoff and Olsen) and 'the problem' (Stout and Olsen)³. As a result of the confusion, two questions seem to have emerged. One, is 'the problem' that of understanding meaning in literature from the reader's point of view? or two, is 'the problem' that of describing meaning, as the abstract concept that it is, from the theorist's point of view? Regardless of which 'problem' Belsey intended, both problems are concerns of literary stylistics, and are recurring themes of this exposition. As an introduction to these themes, I address the following points: the role of subjectivity in reading literature, and given the specific interest of this study, how an interpretation of a metaphor might be described in terms of what the metaphor means.

Subjectivity in the Interpretation of Literature

The issue of subjectivity has played a major role in recent studies in literary stylistics. Stanley Fish's 'affective stylistics' emphasized the role of the reader's responses and 'proclaimed his (the reader's) subjective consciousness to be the only agency that constitutes the text itself' (Seung, 1982:1). This approach to the inter-

pretation of texts is frequently criticized (as in Seung, 1982) for not accounting for misreadings, or misinterpretations.

Views on subjectivity such as Fish's represent one extreme. The opposite extreme would include approaches such as Hirsch (1967) which do not allow for subjective influences to enter interpretations. I have taken a view that lies somewhere between these extremes. Since this investigation is concerned with non-native speakers' comprehension skills, I use native speaker responses (informally in the pilot study and in a controlled experiment for the main experiment) as indicators of acceptable interpretations. Yet, at the same time, I allow for subjective influences; this allowance is necessary since some subjects used in this study told me that reading literature is highly personal and that they preferred to interpret poetry in terms of what it means to them as individuals.

The Meaning of a Metaphor

Belsey (1982) reviews different approaches to the problem of describing interpretations in terms of what given metaphors mean. Her findings are summed up as follows:

Meaning is conventionally hypothesized, a real presence, never quite defined, understood as other than language itself, but the source paradoxically, from which language derives its substance, its life.... The signals (words) are inanimate until the spirit gives them life...

and it is this shadowy, metaphysical essence
which also haunts our critical theory and practice. (p.178)

In this light, the problem which seems to haunt literary theorists is on the one hand that of articulating the meaning of particular metaphorical utterances, or literary texts, and on the other hand, that of encapsulating those meanings into a theoretical framework.

The meaning of any particular metaphorical utterance can be expressed to some extent in paraphrases and expanded definitions; however, its emotive and aesthetic effects could be somewhat difficult to describe. These points need to be considered throughout this study, in particular, with respect to discussions of subjects' interpretations.

As for devising a theoretical framework for the meanings of interpreted metaphors, this task is beyond the scope of this thesis. My investigation focuses on how readers reach the interpretations, and uses theoretical descriptions to facilitate an understanding of these processes.

2.3. Concluding Remarks on Areas of Linguistic Research

This chapter has introduced three areas of linguistic research: pragmatics, literary stylistics and research in meaning in literature. These three areas are not mutually exclusive, and could, in a broad sense, be placed collec-

tively under literary stylistics. .

This thesis also investigates another area of research, that involving the teaching of English as a foreign language. This area researches education as much as, and perhaps even more than, it researches linguistics. In the case of this investigation, the linguistic aspects have been covered above by all three areas discussed. An introduction to the educational aspects will be included in a review of literature for pedagogical implications (in Chapter 12).

PART II

THEORETICAL DESCRIPTION

This part of the thesis offers a theoretical description of the recognition and interpretation of literary metaphors and symbols. The first chapter of this part is a review of literature of pragmatic approaches to metaphor . This is followed by two chapters covering the recognition of literary metaphors and symbols, respectively. The final three chapters of this part present a theoretical description of the comprehension of literary metaphors and symbols based primarily on Eco's interpretive schema (1984); these three chapters are arranged according to comprehension theories in general, which state that comprehension involves three steps:

1) determining context, 2) determining linguistic content, and 3) inferencing (from the context and content).

CHAPTER 3

Review of Pragmatic Theories of Metaphor

3.0. Introduction

In this chapter I shall discuss pragmatic theories of metaphor which have served as catalysts to the specific approach undertaken in this investigation. Firstly, I shall discuss the notion of a 'basic metaphor', which is common to linguistic and literary critical approaches to metaphor. Secondly, I will introduce pragmatic approaches to metaphor by describing two types of pragmatic approaches: 1) those which are based on semantic theories and 2) those based on speech act theories. And lastly, I will introduce Eco's schema for the interpretation of literary metaphors and symbols; this is the approach employed in this investigation.

3.1. The 'Basic' Metaphor

Due to the complex meaning exchanges embedded in most metaphors, analysts have used simple metaphors for their illustrations. Most of these metaphors contain two nouns and a copula, such as the following:

Richard is a fox.
Binkley (1974)

Juliet is the sun.
Cohen (1976)

You are the cream in my coffee.
Grice (1975)

Sally is a block of ice.
Searle (1979)

Sermons are sleeping pills.
Ortony (1979b)

The approaches referred to above are intended to describe linguistic phenomena common to all metaphors (as opposed to a theory which describes literary metaphors exclusively). The use of a basic metaphor as a paradigm for all sorts of metaphors is obviously going to be limited in its descriptive capacity of metaphors which are unlike the basic metaphor. Consider the following example of a literary metaphor:

I have seen the mermaids riding seawards on the waves.

T.S. Eliot
"The Love Song of
J. Alfred Prufrock"

This metaphor is one of several used by Reinhart (1976) in her approach to metaphor. By the use of literary metaphors, Reinhart offers insights useful to linguistic descriptions of features, including imagery, which are common to literary metaphors. Unfortunately, Reinhart's descriptions are often complex and inappropriate for schematisation.

The resulting problem is whether to use a basic metaphor for its convenience in developing a theoretical approach

in spite of its limitations, or to use complex metaphors that often occur in literary texts and develop a theoretical approach of applicational value. Based on my pilot studies, I have found it best to aim at a theoretical approach to account for complex literary metaphors, but at the same time use a simple metaphor (namely, "Man is Machine") for introducing some of the theoretical concepts underlying metaphors.

3.2. Theories Related to Pragmatic Theories of Metaphor

When I asked some subjects of a pilot study if they knew what pragmatics was, one subject replied, 'like semantics', and another said, 'speech acts'. Ironically, it was the 'semantic' and 'speech act' theories found in pragmatic approaches to metaphor which I disputed at the onset of this research. As an introduction to pragmatic approaches which have contributed to this investigation (discussed in 3.3.), I shall defend my position against the presence of semantic and speech act theories in pragmatic theories of metaphor.

Semantic Theories

Pragmatic theories of metaphor are often initiated by discussions of so-called 'semantic' theories of metaphor¹. Typically, pragmaticists criticize semantic theories for

various reasons (as discussed below), yet credit semantic theories for a role in pragmatic theories (as found in Reinhart, 1976; MacCormac, 1986):

...the semantics will just provide a characterization of the literal meaning or conventional content of the expressions involved, and from this, together with details of the context, the pragmatics will have to provide the metaphorical interpretation. (Levinson 1983:156)

Levinson's account of the role of semantics in a pragmatic theory of metaphor is disputable for two reasons. One, he assumes a broad definition of semantics which would have to account for connotative meanings² often present in metaphors. Recent works in lexical semantics do not take such meanings into account³. And two, Levinson assumes that pragmatics cannot 'provide a characterization of the literal meaning or conventional content' on its own. In this investigation pragmatics will prove itself capable of accounting for all meanings involved in metaphors, including aspects of meaning unaccountable by lexical semantics (discussed in Chapters 6 and 7).

Semantic theories are criticized for their view of the relationship between terms contained in metaphors, or to phrase this another way, the means by which a metaphor achieves its effect. Semantic theories looking into this relationship have been divided into two types: 'comparison' and 'interactive' theories. Below, I shall discuss these two types of theories and then discuss Wheelwright's theory, which is a combination of the two. This will be

followed by a description of another feature of semantic theories in general: the tendency to describe metaphor in terms of its (supposed) parts, such as 'vehicle' and 'tenor' (Richards, 1936) and 'frame' and focus' (Black, 1962).

Comparison Theories

Proponents of comparison theories claim that metaphors are the implicit versions of similes. This claim is supported using basic metaphors (discussed in the previous section), which contain a copula, for example, 'Sam is a pig' (from Searle, 1979). For these metaphors a paraphrase is easily achieved by inserting 'like' (hence, 'Sam is like a pig'), which reveals the comparison between the two noun phrases.

Although comparison theories rightly capture the comparative aspects frequent in metaphors, these theories have been challenged on a number of grounds. The most common criticism is that these theories are based on the assumption that metaphors can be paraphrased into their literal or explicit versions 'with no loss of cognitive content' (Eco, 1984:90). This view of comparison theories regards them as insensitive to the additional connotative meaning of the resulting metaphorical expression:

Because metaphoring creates a whole range of possible shared attributes, there is no point in paraphrasing or 'translating' a metaphor into literal statement to 'understand it': this cannot be done accurately except

with the simplest ideas or the most conventional formulas. (Mack, 1975:236)

Searle makes a similar criticism when he points out that, assuming a paraphrase is attainable, 'the meaning of the metaphorical statement and the similarity statement (i.e. the paraphrase) are not, in general, the same' (p.122). In similes the meanings of the terms involved directly influence one another, whereas in their metaphorical counterparts, the meanings indirectly influence one another; these differences, in effect, yield different meanings.

Interactive Theories

Searle (1979) defines interactive theories as claiming, 'that metaphor involves a verbal opposition (Beardsley, 1962) or interaction (Black, 1962b) between two semantic contents, that of the expression used metaphorically, and that of the surrounding literal context' (p.99)⁴.

Interactive theories escape from some of the criticism directed at comparison theories by the flexibility of the term 'interaction': this could imply similitude, compatibility, juxtaposition or relatedness of attributes involved in metaphors. In addition, interactive theories do not attempt to produce paraphrases. Interactive theories share with comparison theories, however, the criticism of not providing, 'a means that would enable us to ascertain

what the similarity (or interaction (my brackets)) consists in' (Levin, 1979:127).

Eco (1984) makes a similar criticism when he points out that neither theory explains how one term of a metaphor gains or loses something at the expense of the other term (p.93). While Eco's criticism applies to many comparison and interactive theories, it is not true of all of them. Ortony (1979) and Barsalou (1982) present comparison theories which examine the relative saliency of the terms (in the context) of a metaphor, i.e. which term (or object) gains or loses something. Consequently, these two theories are used in the description of lexical meaning in metaphors in Chapter 7.

Wheelwright's Approach

Another semantic description of metaphor, which is frequently cited (as in MacCormac, 1986), combines comparison and interactive theories. Wheelwright (1962:72-80) coined the terms 'epiphor', 'standing for the outreach and extension of meaning through comparison', and 'diaphor', 'the creation of new meaning by juxtaposition and synthesis'. Some metaphors employ epiphor, some diaphor, and still others both.

Without subscribing to the terminology of epiphor and diaphor, I follow Wheelwright's suggestion that metaphors

are comparisons, interactions, or both. The deficiencies in comparison and interaction theories on their own supports the need for a combined theory. Also, the application portion of this investigation requires that both comparison and interaction theories are taken into account in order to describe the wide range of metaphors present in the texts used in the experiments.

The 'Parts' of a Metaphor

Another tendency of semantic theories (which can also be found in some pragmatic theories, including Reinhart, 1976) is the view that metaphors possess discrete parts. I.A. Richards (1936:100) introduced the terms 'vehicle' and 'tenor' to describe the units of a metaphor; the tenor is the 'general drift', the meaning expressed by the metaphor, and the vehicle is the basic analogy which is used to embody or carry the tenor.

These terms are still used today, but with less frequency due to the ambiguity they present. Richards also defines the tenor as 'the underlying idea or principle which the vehicle or figure means'; yet, he says that the meaning of the figure is comprised of both the vehicle and the tenor: 'vehicle and tenor in co-operation give a meaning of more varied powers than can be ascribed to either' (p.118). From the latter, one might deduce that the vehicle is

part of the tenor.

This confusion has not passed unnoticed. Reinhart, who is critical of the terms 'tenor' and 'vehicle', interprets them in the following manner:

...it remains very difficult to determine what exactly Richards, or any of the others, mean by these terms. One thing is clear: the tenor is something which is present in the given metaphorical phrase, while the vehicle is something (word, referent, or meaning?) which is not present but which we construct when we interpret the metaphor. (1976:385)

This definition illustrates the confusion in that it contradicts Richards' definitions.

Among linguists who still employ these terms (including Eco, 1984; Carter, 1987⁵), Leech's definitions are perhaps the most accepted. According to Leech, 'tenor' is 'that which is actually under discussion' and 'vehicle' is 'the image or analogue in terms of which the tenor is represented' (1969:150). Along with these clarifications, Leech saw the need for another term to be included in the description of metaphors:

Naturally enough, metaphoric transference can only take place if some likeness is perceived between tenor and vehicle. This brings us to the third notional element of metaphor: the Ground of the comparison. Every metaphor is implicitly of the form 'X is like Y in respect of Z', where X is the tenor, Y is the vehicle and Z is the ground (p.151).

In spite of Leech's clarification, the division of metaphor

into parts remains an awkward task, in particular for students of literature. Given that the use of such terms is not necessary for the comprehension of literary metaphors and symbols, describing metaphors by their parts is not taken up in this investigation.

Speech Act Theories

Speech act theories posit that utterances are actions (or do things) by possessing 'force' specific to each utterance (Austin, 1970:251). In speech act theories utterances are depicted in terms of their functional intent.

For the most part, speech act theories have been applied to literary discourse as a whole, and not specifically to literary metaphors and symbols. As an exception to this, however, Mack (1975) describes metaphors in the framework of speech act theories, similar to that of Austin:

...they function very much like weak commands, suggestions to see or feel in a certain way, as both locutionary and illocutionary acts. It is as if a speaker were saying, "I urge you to see it thus", "I suggest you to see it thus", "I create it thus"... "feel it this way to understand me" (p.248).

By stipulating a parallel between 'metaphoring' and 'commanding', Mack focuses on the communicative aspect of metaphorical utterances. Mack only hints at aesthetic qualities in what she calls 'impositives', one of the levels of illocutionary force in metaphoring:

...used by poet and propagandist to convey his message

and bias by creating a new and unforgettable way of seeing and feeling towards a subject. (ibid)

Mack also describes non-communicative qualities of metaphors in what she calls, 'suppositives'; these are used 'playfully, not seriously, for fun...'. Mack gives this example: 'She is as nervous as a pregnant nun in church'. (Incidentally, this is a simile, as indicated by the use of 'as'.) It is obvious that these 'suppositives' are of limited value to a description of 'literary' metaphor.

The major deficiency in Mack's approach is that it makes little allowance for aesthetic or subjective elements required for a description of literary metaphors. It views metaphors strictly as an act of communication, as one views commands or performatives. Such an approach does not suit a schema for the comprehension of literary metaphors.

Other speech act theories are more valuable to the comprehension of literary discourse, in general, though not specifically to literary metaphors and symbols. Since these more general speech act theories were taken into consideration in the development of the theoretical approach, discussed in the following chapters, here I shall briefly describe such theories.

Widdowson claims that the writer performs two types of acts: one is the focal acts which 'relate to the writer's

role as addresser; their function is to express his message'. The second is called the enabling acts, 'which relate to his role as addressee: their function is to anticipate reactions from the prospective reader which might interfere with the transmission of the message' (1984:49). The enabling acts are rendered by the non-reciprocal feature of literary discourse.

There is another act, however, which others cite wherein the writer accomplishes a communicative act indirectly through the characters of the world within the text. Here the writer is addresser and addressee, controlling the discourse between his characters. And here the reader is an 'eavesdropping' participant (Fowler, 1986:102).

These more general speech act theories also offer the reader an understanding of the notion of how a literary text functions. Unlike conversational discourse, literary discourse does not have only a communicative function; it also possesses a poetic function, as 'appraisive discourse which aims to induce approval of the discourse itself' (Jakobson, 1969:296).

A debatable issue exists over whether the poetic function takes precedence over the communicative function or vice versa; Mukarovsky believes the former:

Poetic language pushes communication into the background as the objective of expression, and of being used for

its own sake; it is not used in the services of communication, but in order to place in the foreground the act of expression, the act of speech itself. (1969:243)

A problem with this use of speech act theories lies in the indeterminacy of the concepts of poetic and communicative functions when applied to a given poetic text. Often the poetic and communicative functions appear as one and the same. This was noted by subjects (of the pilot studies) in their responses to the poetic and communicative functions of given poems. (These responses appear in Appendix G.) Subjects' responses also revealed that they understood the meaning of these terms, yet were unable to discriminate one from the other when actually applying them to a particular text.

Concluding Comments on the Use of Semantics and Speech Acts

The role of semantic and speech act theories in pragmatic approaches to metaphor is obviously limited. Semantic theories, in their broad descriptions like 'comparison' and 'interaction', and their formal analyses of metaphors into parts (such as 'tenor' and 'vehicle'), do not capture the subtleties found in metaphors. Speech act theories, in their descriptions of the functional aspects of literary discourse in general, do not suffice in practice, in particular for literary metaphors. Neither semantic nor speech act theories adequately cope with the complexities present in the comprehension of literary metaphors and

and symbols.

The term 'comparison', however, along with juxtaposition has been used in this thesis as it does describe a characteristic of metaphor.

3.3 Pragmatic Approaches to Metaphor

An often cited pragmatic approach to metaphor is that of John Searle, who broke tradition by examining metaphor not as a comparison or interaction between meanings, but as an indirect speech act. Searle describes metaphor in terms of the relation between the literal sentence meaning and the speaker's utterance meaning. (These terms derive from Grice's 'speaker-meaning' and 'sentence-meaning'(1957)). Metaphors are expressions in which the literal sentence meaning is different from the speaker's utterance meaning⁶. Searle proposes a set of principles intended to explain the process by which the hearer (or reader) figures out the speaker's utterance meaning, given the sentence meaning.

In this section, I shall describe Searle's principles, as they have been the catalyst to the theoretical portion of this investigation. This will be followed by a discussion of Eco's schema for the interpretation of literary metaphors and symbols; this is the main approach used in this thesis.

Searle's Principles

Searle's introduction to his principles is worth noting because it reflects Sperber and Wilson's summary of comprehension theories (cited in Chapter 2):

The hearer requires something more than his knowledge of the language, his awareness of the conditions of the utterance, and background assumptions that he shares with the speaker. He must have some other principles, or some other factual information, or combination of principles and information, that enables him to figure out that when the speaker says, "S is P", he means, "S is R". (p.99)

This readily fits the comprehension theories which serve as the framework for the theoretical portion of this exposition. The reader requires knowledge of 'context' (i.e. 'the background assumption that he shares with the speaker' (or writer)), knowledge of 'linguistic content' (i.e. 'his knowledge of the language'), and the reader must carry out some sort of inference procedures 'that enable him to figure out' the meaning of the metaphorical utterance.

Searle then describes eight principles employed by the hearer when interpreting metaphorical utterances. Despite Searle's criticism of comparison theories, these principles are based on strategies 'using similarity' (p.112) and on a paradigmatic metaphor, as mentioned above, that when the speaker says, 'S is P', he means 'S is R'.

The first three principles account for the hearer's (or

reader's) use of linguistic knowledge of both P and R terms:

Principle 1:

Things which are P are by definition R. Usually, if the metaphor works, R will be one of the salient defining characteristics of P.

Principle 2:

Things which are P are contingently R.

Principle 3:

Things which are P are often said or believed to be R, even though both speaker and hearer may know that R is false of P.

Searle's seventh and eighth principles also appeal to the hearer's linguistic knowledge; yet, these principles differ slightly from the first three by referring to verbphrase metaphors (Principle 7) and to metonymy and synecdoche (Principle 8)⁷:

Principle 7:

(This principle is intended for 'relational metaphors and metaphors of other syntactical forms such as those involving verbs and predicate adjectives.") The hearer's task is not to go from "S is P" to "S is R" but to go from "S P-relation S" to "R-relation S".

Principle 8:

The semantic content of the P term conveys the semantic content of the R term by some principle of association.

Within the general comprehension schema, the remaining principles might be categorised as a combination of a reader's linguistic knowledge and his use of context:

Principle 4:

Things which are P are not R, nor are they like R things, nor are they believed to be R, nonetheless it is a fact of our sensibility, whether culturally or naturally determined, that we just do perceive a connection, so that utterance of P is associated in our minds with R properties.

Principle 5:

P things are not like R things, and are not believed to be like R things, nonetheless the condition of being P is like the condition of being R.

Principle 6:

There are cases where P and R are the same or similar in meaning, but where one, usually P, is restricted in its application, and does not literally apply to the term S.

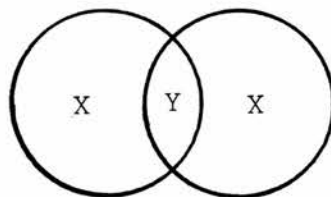
While these principles may, at first sight, appear rigorous, because they cover a wide range of meanings found in metaphors, they achieve this by sacrificing specificity. Searle's use of expressions, such as 'culturally or naturally determined', 'by definition' and 'the semantic content of...' take for granted the various, and often debatable, aspects of word meaning inherent in each of these expression. As a result, Searle's account of the terms (or 'objects') in metaphors is inadequate. Levin's observations on Searle's approach also criticize Searle in this respect (Levin, 1979:124-28).

Searle's use of sentence and utterance meaning, however, are indeed an improvement over the ambiguous notions of tenor and vehicle, discussed earlier. Searle's perspective has been employed in many recent accounts of metaphor. In MacCormac's 'cognitive approach to metaphor', for instance, the distinctions between literal meaning (Searle's sentence-meaning) and metaphorical meaning (utterance-meaning) are the foundation for an entire theory. Most theorists, however, including Searle (1979)

and Eco (1984) suggest that the blatant distinction between sentence and utterance meaning is valuable in determining whether or not a metaphorical interpretation is required. Specifically, this is achieved by responding to cues in the sentence meaning, such as 'obvious falsehoods, semantic nonsense, violations of the rules of speech acts, or violations of conversational principles' (Searle, p.114). Popular with pragmaticists, this approach to the recognition of metaphors is used in this study, employing Grice's Cooperative Principle as a foundation (in Chapters 4 and 5).

Introduction to Eco's Schema

Given the deficiencies of Searle's treatment of lexical meanings found in metaphor, I introduce lexical meaning through the notions of denotative and connotative meanings; such meanings will be described using Barsalou's context-dependency distinction (1982). In addition, denotative and connotative meanings found in metaphors are explored further using Eco's FAMP schema, as follows:



Y is the resulting interpretation and $/x/ \subset \text{FAMP}$, where x is a noun, F stands for the 'perceptual aspect of x', A for 'who or what produces x', M for 'what x is

made of' and p for 'what x is supposed to do or serve for' (p.115)⁸. The properties accounted for under the FAMP heading allow readers to limit possibilities of denotative and connotative meanings when interpreting metaphors. This procedure is obviously more economical than the use of Searle's eight principles. However, Eco's schema also has its weaknesses, which are discussed along with the use of the schema in Chapter 6.

Eco's FAMP schema is part of a larger, inference-based approach, which I also borrow for the theoretical portion of this study. While Searle's principles only mention the notion of inferencing, Eco's approach develops the notion specifically for the comprehension of literary metaphors and symbols.

Unfortunately, Eco's approach, like other pragmatic approaches, is not rigorous in its account of context. The issue of context is central to pragmatic theories (as presented in the previous chapter). Yet, in descriptions of literary metaphors, while context is deemed all-important, features of context specific to interpreting metaphors are not described. Hence, in order to examine readers' interpretations, this investigation has had to undertake the task of describing contextual features used in the interpretation of literary metaphors and symbols. In keeping with the theoretical descriptions used in this study, my

approach to context is compatible with Eco's schema.

3.4. Concluding Remarks on Pragmatic Theories of Metaphor

I began this chapter with a discussion of the advantages and disadvantages of a 'basic' metaphor and its use in this thesis. I have also reviewed theories of metaphor which are used and which are not used in this thesis. Of the former theories, I discussed pragmatic theories based on semantic and speech act theories. Of the latter, theories used in this thesis, I discussed Searle's approach (which offers sentence-meaning and utterance-meaning distinctions) and Eco's schema (which is the main approach used in the theoretical descriptions).

CHAPTER 4

The Recognition of Literary Metaphors

4.0. Introduction

In this chapter I shall discuss the recognition of literary metaphors by examining the textual elements indicative of a metaphorical interpretation. I shall begin this chapter with a clarification of the terms 'literal' and 'figurative' meanings. These terms are central to the description which follows, whereby the recognition of literary metaphors is described using Grice's maxim of Quality. (In Chapter 9, I discuss subjects' responses drawn from a classroom exercise which aided in formulating this portion of the theoretical approach.)

4.1. Literal and Figurative Meanings

In order to employ the maxim of Quality for the recognition of literary metaphors, it is necessary to clarify the terms 'literal' and 'figurative (or metaphorical)' meanings. These terms will also serve in the description of context in Chapter 6 (where contexts created within literary texts are described on their 'literal' and 'metaphorical' levels).

The terms 'literal' and 'figurative' are used differently among theorists. For some, these terms apply to word-mean-

ings similar to the way others use the terms 'denotative' and 'connotative' meanings:

A literal sense of a term is a standard dictionary sense, comparatively invariant through sets of contexts; a metaphorical sense is a set of collateral properties of objects denoted by the term - a sense which the term has only in a metaphorical context. (Beardsley, 1976:219)

To avoid confusion between these pairs of terms, literal and figurative and denotative and connotative, I restrict the use of the terms literal and figurative to utterance and text levels, and denotative and connotative to word levels.

Given the many aspects of the notions 'literal' and 'figurative', I shall clarify these terms by examining possible distinguishing characteristics.

One characteristicsitic which distinguishes literal and figurative meanings is conventionality. A literal meaning may be defined as meaning which is 'publicly perceptible' (MacCormac, 1985:73). Consequently, figurative meaning would be that which does not follow the conventions of a language.

This characteristic, however, is only valuable to some extent because conventions of meaning are not documented nor wholly agreed upon among speakers of a language. Moreover, as use exposes language conventions to alteration, the 'conventional' use of meanings is in a con-

stant state of flux. It follows that the same is true of literal and figurative meanings; these meaning types are constantly in a state of flux and cannot be rigidly classified. Thus, conventionality may be employed as a distinguishing characteristic if restricted to a particular point in time.

Another distinguishing characteristic of literal and figurative meanings is the type of word-meanings (i.e. denotative and connotative, which are fully defined in Chapter 7) found in literal and figurative meanings. The lexemes in a metaphorical expression, if taken literally, are denotative, connotative, or both. When understood figuratively, however, the resulting meaning(s) creates new connotative meanings. This is true by definition of literary metaphors and symbols (as discussed in Chapter 1).

In sum, literal meaning is that which is 'publicly perceptible', follows the conventions of the language and may consist of denotative and connotative meanings which are stored in the concept. Figurative meanings, on the other hand, are those which do not follow the conventions of a language (though they may follow literary conventions) and by definition consist of connotative meanings.

The definitions that I offer are not absolute, nor are they intended to be: in this explanation of literal and

figurative meanings I have set out to establish an understanding sufficient to examine literal metaphors as literal falsehoods.

4.2. Employing Grice's Maxim of Quality

Grice (1975:53) uses metaphor as an example of a violation of the maxim of Quality, which stipulates that the speaker should not say that which he believes is 'false' if he is communicating 'cooperatively'. Aside from the assertion that metaphors 'characteristically involve falsehood', Grice says very little about this use of the maxim. However, he does point out that metaphor is obviously not the only violation of this maxim: other examples given by Grice include irony, lies and euphemism. Since Grice did not intend for his maxims to be used critically by readers of literary texts, it is understandable that he did not suggest a criterion for distinguishing the various violations of the maxim¹. Similarly, I have not accounted for all of the distinctions between violations of the maxim. However, I will attempt to distinguish metaphors from idioms, a distinction which is pertinent to this study. (Provisionally, in the discussion to follow, I include metaphors which are found in idioms along with literary metaphors.)

With the use of the maxim of Quality, the term 'false' is

adopted to refer to metaphors. This raises two debatable questions common to theories of metaphors: 1) are metaphors falsehoods? and, once established as falsehoods, 2) in what way are metaphors false? These two questions are crucial to the use of the maxim of Quality.

Are Metaphors False?

In order to approach the notion of metaphors as literal falsehoods the falsity cannot be of the same nature as the falsity used by logicians. Unlike a false proposition, the literally false metaphor urges the interpreter to seek a metaphorical meaning. Where the false proposition is labelled false and abandoned, the metaphor is identified as literally false and then given a value as a metaphorical utterance.

With an understanding of the special falsity involved in metaphors, theorists are still faced with many complications when addressing this issue. For instance, a given sentence could be literally true in context, yet literally false in another. 'Edinburgh is a cold city' could be literally true in one context, where cold refers to the weather, and literally false in another context, where cold refers to the behavior of the people. This problem, which is the result of treating metaphors as if decontextualised, was not encountered in this study since

the metaphors were embedded in their original contexts.

Another obstacle facing theorists is the common assumption that the falsity of metaphors reflects abnormal or non-standard language. This assumption is difficult to support because literal falsehoods, whether they are found in metaphors, idioms, or other types of figurative language, occur frequently in English, and often in uses that are generally regarded as normal or standard (as pointed out in Binkley, 1974:173). Taking a less formal approach than some might take on this issue, I support the notion that metaphors may be literal falsehoods and that metaphors are not improprieties of language.

Critics of the notion of metaphors as literal falsehoods also point to exceptions, such as in these lines from George Herbert's "The Quidditie"²:

My God, a verse is not a crown,
No point of honour, or gay suit,
No hawk, or banquet...

Since a verse is not a crown, etc., these lines are literally true. It could be argued, however, that they are also anomalies, and therefore, regarded as 'false'. Saying that a verse is not a crown is highly unusual in that a verse is an abstract entity and a crown a concrete entity. The negation of the association between these two entities is an anomaly, not only in its unusualness, but also in that it presupposes that a positive association could be made.

Interestingly, these lines from Herbert are a violation of the maxim of Quantity since the utterances are 'more informative than is required'. By definition, a verse is not a crown, and saying so would be giving Herbert's reader more information than is needed.

Examples such as the above have been discussed by a number of theorists (including Werth, 1978, Reddy, 1980 and Butler, 1984) as weakening the view that metaphors are literal falsehoods. In response to these theorists, I follow Martinich (1984:80-81), who treats metaphors which are literally false and common to literary discourse as 'standard', and metaphors which are not literally false, such as in the Herbert example, as 'non-standard'. But to Martinich's analysis, I add that it be restricted to the utterance level of description because literary symbols (as I will discuss in the following chapter) may be literally true in the utterances in which they occur; upon examination of the entire text, however, a symbolic, or metaphorical meaning emerges.

Ascribing truth-values to metaphorical utterances is also difficult because such utterances evoke more than one plausible interpretation. Some argue that this feature makes metaphorical utterances neither true nor false (Olscamp, 1971; Loewenberg, 1975). Others claim that metaphorical utterances are always true, whether they present one truth statement or a multitude of truth state-

ments (a view found in Goodman, 1968 and Binkley, 1974). I agree that metaphors evoke many interpretations, but again I advocate a less formal approach, in which interpretations are not treated as statements, subject to truth-values. Metaphorical utterances often express insights, opinions, or emotions which cannot be adequately dealt with if placed in a rigid two-value logic.

In What Ways Are Metaphors False?

Since the falsity in the literal level of a metaphor is not the same type of falsity found in two-valued logic (as explained above), if Grice's maxim of Quality is to be used, the term 'false' either needs clarification or replacement. With the latter choice, the term which is more appropriate and more commonly used to discuss the 'falsity' aspect of metaphors is 'deviation' or 'deviance' (Leech, 1969; Van Peer, 1986). The term deviation covers the wide range of divergence from rules and conventions of a language which metaphors present³.

The general view is that deviation has two dimensions, as revealed in Riffaterre's definition (1960):

Deviation is thus described in relation to (a) a norm present in the text... and (b) a norm absent from the text. (Cited in Carter, 1979:20)

This position is also found in VanPeer (1986:20-22), who describes deviation as being both internal and external

(though VanPeer adds other dimensions, not pertinent to this study). Interestingly, my pilot studies (discussed in Chapter 9) suggest that 'a norm present in the text' might play a greater role in the reading of poetic text than 'a norm absent from the text'.

Two types of deviation can occur in metaphors: semantic and syntactic. Compared to semantic deviation, syntactic deviation is a less cogent feature of metaphors. Moreover, since metaphor is by definition a semantic phenomenon (as pointed out in Loewenberg, 1975 and Delas, 1986), the existence of syntactic deviation in metaphors is questionable. However, there are cases in which syntactic deviation is more apparent to the reader than semantic deviation. Given the presence of readers in my experiments, I treat syntactic deviation as a subset of the semantic deviation found in metaphors.

I will illustrate these two types of deviation using Robert Graves' poem "The Garden":

The Garden

Enhanced in a tower, asleep, dreaming of him,
The twin buds of her breasts opening like flowers,
Her fingers leafed and wandering...

Past the well

Blossoms an apple-tree, and a horde of birds
Nested in the closed thickets of her hair
Grumble in dreamy dissonance,
Calling him to the garden if he dare.

The deviation discussed in this exposition is restricted

to that which is relevant to the recognition of literary metaphors. Poems can include deviation which has no bearing upon the use of metaphors, such as in these lines from the Graves' poem:

... a horde of birds
Nested in the close thickets of her hair
Grumble in dreamy dissonance.

The garden-path effect in these lines is a form of syntactic deviation. But this occurrence of deviation is not relevant to any metaphors in this poem, and is, thus, excluded from the following discussion.

Semantic Deviation

Common in metaphors is semantic deviation wherein a noun is given one or more attributes which do not reflect the noun's denotative meanings. In "The Garden", 'breasts' are 'buds', and 'hair' are 'thickets'; 'buds' and 'thickets' are both false attributes for 'breasts' and 'hair' respectively.

Another type of semantic deviation occurs in metaphors in which an entity is renamed; a 'transference' of meanings takes place between the original name and the new one, as in synecdoche and poetic metonymy. For example, as parts of the garden, such as flowers, are associated to parts of her body, 'the well' is also associated to a part of her body, as a poetic metonym for her vagina.

Syntactic Deviation

Of the various types of syntactic deviation, the most frequent is that which is governed by verb phrases (Brooke-Rose, 1957:206-237). In these cases, the verb predicates nouns which makes the use of the verb deviant. For fingers cannot become 'leafed' (here, 'leafed' may also be treated as an adjective modifying 'fingers'), nor could her fingers be 'wandering', as this verb requires a subject denoting an entity capable of acting as an agent.

Another type of syntactic deviation occurs where adjectives with a restricted use are used unacceptably, as in the first line, 'Enhanced in a tower...'. 'Enhanced' is usually employed as an adjective to describe something which is raised to a higher degree in terms of value or quality, such as in the utterance, 'the flavour is enhanced by adding a tablespoon of red wine'. Normally, the word 'enhanced' would not be used to describe (or predicate) a person's position in a particular location or emotional state⁴.

Lastly, syntactic deviation occurs with deviant uses of the genitive, as found in 'the close thickets of her hair'. This type of deviation carries with it the ambiguity inherent in the genitive construction. As a post-modifier, 'of' is semantically deviant due to the use of 'thickets' as possessed by hair. As an appositive genitive, 'of' would be syntactically deviant because her hair is not

literally thickets .

Degrees of Deviation: A Metaphor/Idiom Distinction

The use of the maxim of Quality and the features of semantic and syntactic deviations only assist readers in recognizing possible metaphors; on their own these devices do not distinguish literary metaphors from metaphors found in idioms. Unlike literary metaphors, metaphors found in idioms are dead metaphors, i.e. metaphors which have lost their metaphorical impact due to their frequent use in a language (or a particular variety of a language)⁵. Often, the more a metaphor is used, the less perceptibly deviant it becomes. Therefore, one way of distinguishing between literary metaphors and metaphors found in idioms can be based on their comparative degrees of deviation. However, since the degrees of deviation rely on the readers' familiarity with the use of the language, it is a somewhat subjective indicator in distinguishing literary metaphors from metaphors found in idioms.

4.3. Concluding Remarks on the Recognition of Metaphors

Based on the notion that metaphors are literal falsehoods, the violation of the maxim of Quality adequately describes the recognition of possible metaphors. With the experiment portion of this study in mind, the 'falsity' in metaphors was defined more precisely using the term 'deviation'.

Deviation was classified by two types, semantic and syn-

tactic deviation. And finally, this notion of deviation was considered as a device useful in distinguishing literary metaphors from metaphors found in idioms.

The linguistic description explained in this chapter will be utilized in Chapters 9 (which discusses the pilot study) and 10 (which discusses my main experiment).

CHAPTER 5

The Recognition of Literary Symbols

5.0. Introduction

In this chapter I shall discuss the use of Grice's maxims of Quantity and Relation to describe two ways in which the reader recognizes literary symbols. Moreover, I shall describe an additional way of recognizing literary symbols which does not have its base in Grice's maxims: the use of the feature of 'familiarity'. As an introduction to this chapter, here I shall discuss the need for description that is not found in Grice's theoretical construct.

From the outset it has been apparent that Grice's maxims are deficient in accounting for the various ways in which literary symbols may be recognized. The maxims that are useful (namely, Quantity and Relation) require elaboration.¹ These elaborated versions of the maxims of Quantity and Relation are discussed in sections 5.2. and 5.3. respectively.

But first this chapter describes the feature of familiarity, which is not accountable under Grice's maxims. The need for this additional feature was realized in my pilot experiments, where it was most economical to introduce literary symbols to subjects by discussing familiar icons (in the

sense of religious symbols) and familiar literary and cultural symbols.

5.1. Employing the Feature of Familiarity

In order to illustrate the use of the feature of familiarity for recognizing literary symbols, I again use Graves' "The Garden":

The Garden

Enhanced in a tower, asleep, dreaming of him,
The twin buds of her breasts opening like flowers,
Her fingers leafed and wandering...

Past the well
Blossoms an apple-tree, and a horde of birds
Nested in the close thickets of her hair
Grumble in dreamy dissonance,
Calling him to the garden if he dare.

Before listing symbols in this poem that could be recognized by using the feature of familiarity, it needs to be said that this feature is highly subjective; different readers have different background knowledge of symbolic uses. For instance, recognition of 'garden' in this poem as requiring a symbolic interpretation depends on the reader's background knowledge of texts, such as the Bible (for the Adam and Eve story).

Given this consideration, other symbols in this poem which are recognizable by employing the feature of familiarity include 'tower' and 'apple-tree'. As pointed out by a subject of my control group (a native English speaker), the 'tower' has been used as a symbol in Gothic literature².

The 'apple-tree' has been used symbolically in many texts, including the Adam and Eve story in the Bible and in Sufic love poetry.

In sum, employing the feature of familiarity involves the reader's background knowledge of symbolic uses which trigger the recognition of the same symbols when found in the given text. I have illustrated instances where this process could occur using some of the symbols found in Graves' "The Garden".

5.2. Employing the Maxim of Quantity

The maxim of Quantity involves informativity: an utterance violates this maxim if it is either uninformative or over-informative. Thus, in order to describe the use of this maxim, I begin this section with a clarification of the concept of informativity.

Informativity

In a linguistic context, informativity refers to the communicative value of a given utterance. Since communicative value is the result of the transmission of knowledge from speaker to hearer, informativity rests on the speaker's knowledge and his intentions to reveal that knowledge. For the analyses of literary texts the author's knowledge

and intentions cannot wholly be taken into account. Discourse between author and reader is non-reciprocal. In addition, the author can control the knowledge he reveals in a way unique to written texts: for example, the author can be underinformative knowing that the reader can look back or forward in the text. For these reasons, this study concentrates only on the author's intentions which are overtly revealed in the text.

From the use of the notion of informativity arises the argument over whether literary texts communicate information. This problem was mentioned earlier (in Chapter 3) in terms of poetic and communicative functions, as the latter would seem to be revealed by information exhibited by a text. As a result of poetic and communicative functions interacting, information in literary texts is not information in a strict sense. Information, then, seems to be of different types; I shall, therefore, examine this notion by considering taxonomies for informativity.

A Taxonomy for Informativity

Several taxonomies have been proposed for informativity, the majority of which lack the rigour necessary for a description of metaphorical and symbolic utterances. The Prague School, for instance, offers the two broad divisions of new and given information. Prince's taxonomy (1981) classifies informativity as three types: new, inferrable and evoked

(Prince also gives a subclassification of these three types). Even in this more detailed taxonomy, the type of information found in metaphors and symbols is not specified. Sperber and Wilson (1986), however, include the special type of informativity found in metaphorical and symbolic utterances.

For Sperber and Wilson, informativity reflects the type of information which is revealed. They offer four types of information: 1) of some particular fact, 2) of some particular assumption, 3) of the subject matter itself, as developed in the text, and 4) information which develops or contains analogies, that might have not been consciously in the reader's mind waiting information.

This last type of information (type 4) is found in metaphorical utterances, but is only realized after the metaphor has been given an interpretation. Consequently, this type of information describes an aspect of the interpretation process, yet is not of value in describing the recognition process.

Other types of information found in Sperber and Wilson's taxonomy, however, can be employed in the recognition of literary symbols. If a symbol originates from a previous text, or cultural tradition, the information is of type 2, that which derives from a particular assumption. If the symbol is created in the text (but not metaphorically),

it is generally of type 3, that which pertains to the subject matter itself, as developed in the text. How these types of information are involved in the recognition of literary symbols will be discussed below.

The Use of Quantity

Given this basic understanding of information in the context of literary texts, I shall describe two ways in which violations of the maxim of Quantity may be used for recognizing literary symbols. One way is when, in addition to a literal meaning, a word represents a meaning not normally referred to by that word. Initially, the author is not being as informative as he could be; he could inform the reader that a word is used in a unique way, symbolically. This explicitness would be 'required' information if the author wanted the reader to understand the symbolism as the author does. However, unlike the case of non-literary discourse, the reader assumes that the author's intentions are for the reader to arrive at these understandings in a particular manner at a certain place in the text (a point made by Eco, 1984).

The other way the maxim of Quantity is violated is by the repetition of a symbol, in which case the author is giving 'more information than required'. In "The Garden", 'dream' is found in 'dreaming about him' and 'the horde of birds... grumble in dreamy dissonance'. Likewise, the image of blos-

soming is used twice: in 'her breasts opening like flowers' and in 'blossoms an apple-tree'. In these particular examples the repetition of images contributes to the coherence of the poem at a literal and metaphor level. In other literary texts, the repetition may be less subtle, even to the extent of disturbing the coherence of the poem at the literal level.

This second way of recognizing literary symbols based on a violation of the maxim of Quantity is more valuable than the first, because it is easier to account for overinformativity than it is to account for underinformativity. When a text is overinformative the reader can point out those portions which are not necessarily informative, whereas, if a text is underinformative, the reader cannot (in many cases) identify information which is missing.

5.3. Employing the Maxim of Relation

Literary symbols may also be detected via the maxim of Relation, where after recognizing the absence of relevance (perhaps due to unnecessary repetition), the reader seeks a symbolic interpretation. Relevance is an important theme of this exposition, and at each occurrence, a different aspect of this concept emerges. Here, relevance is used by the recognition that something is irrelevant.

Sperber and Wilson (1986:121) offer three conditions of irrelevance. In the first condition, the information of a given utterance 'does not connect up with any information in the present context'. In the second condition, the information in the given utterance is already present in the context in another form and this new information lacks the 'strength' to affect the present context. The third condition of irrelevance occurs when information in the given utterance is 'inconsistent with the context and is too weak to upset it'.

The variety in which authors present and develop literary symbols within a text would make any of these three conditions applicable. However, the second condition is most appropriate in that it reflects a feature common to literary symbols: the repetition of images already present in the text. In these instances, the maxim of Relation is used in conjunction with that of Quantity. Moreover, the notion of relevance makes repetition, in the case of literary texts, relevant as opposed to redundant.

Also noteworthy are cases where the third condition of irrelevance applies (when the use of a symbol appears 'inconsistent with the context and is too weak to upset it'). This occurs where the use of a symbol does not appear to affect the text itself. In "Rhapsody on a Windy Night" (Appendix A), the image contained in 'a toy running along the quay' is inconsistent with other images in the text, suggesting a sym-

bolic interpretation.

This third condition of irrelevance is less reliable in recognizing literary symbols than the second condition because a symbol is often understandable on a literal level, and is relevant in the poem's literal domain. In "The Garden" references to 'the well', 'an apple-tree' and 'the horde of birds' are consistent with the context in that they are images likely to be found in a garden. As discussed earlier, the recognition of such symbols rests on the reader's familiarity with these symbols, and not on the use of Grice's maxims.

5.4. Concluding Remarks on Recognizing Literary Symbols

In this chapter I have described three ways of recognizing literary symbols: 1) by the use of 'familiarity, 2) by the use of the maxim of Quantity, and 3) by the use of the maxim of Relation. Based primarily on insights gained from the pilot experiments, I have favoured the use of the feature of familiarity.

Related to this feature of familiarity is the notion of intertextuality, which accounts for interpretations of literary symbols (and metaphors) based on references to previous texts. Intertextuality is discussed in the following chapter where I describe context used for interpretation.

As with the previous chapter (on recognizing literary metaphors), the linguistic description outlined in this chapter will be used to facilitate the discussions in Chapters 9 (which involves the pilot study) and 11 (which involves my main experiment).

CHAPTER 6

Contextual Features for Interpretation

6.0. Introduction

This chapter pertains to the first stage of the comprehension process: to determine the context required in comprehension of a given utterance. Here I describe contextual features for interpretation which have been constructed to meet the needs of this investigation.

Given the vastness of what could be referred to as context, I begin with a preliminary discussion on context, where different viewpoints on analysing context are explored. This preliminary discussion will be followed by another introductory discussion, where I describe the contextual situation where this investigation took place, i.e. what I call the 'Constraints on Context'.

The main sections of this chapter are divided according to two general groups: context within the text and background knowledge as context.

6.1.1. Context: Preliminary Discussion

Previously in this exposition, I have used the term 'context' as it is generally understood, pertaining to that which surrounds an utterance, such as: the surrounding text, the

participants in the discourse and the time and place of the discourse. These are just a few of the many facets of context (as pointed out in Brown and Yule, 1983). Consequently, placing context into a theoretical construct for descriptive purposes involves extensive delimitation. For this investigation the task is slightly less ambitious than other pragmatic studies which have attempted such delimitation (such as Brown and Yule, 1983, and Levinson, 1983). My analysis is restricted to context needed for the interpretation of literary metaphors and symbols. Furthermore, as this investigation includes actual readers and literary texts, the description of context is limited to this particular investigation (with implications for similar studies).

Despite these constraints, an attempt to account for context remains complex. In order to describe my theoretical approach to context, I shall first present different angles from which context may be approached. I have divided these views towards context into two general interrelated groups: 'mutual knowledge as context' and 'relevant knowledge as context'.

Mutual Knowledge as Context

Mutual knowledge hypotheses are defined by Sperber and Wilson (1986) as positing that, 'if the hearer is to be sure of recovering the correct interpretation, the one in-

tended by the speaker, every item of contextual information used in interpreting the utterance must be not only known by the speaker and the hearer, but mutually by both' (p.18). In spite of the popularity of approaches like this (see Lewis, 1969 and Schiffer, 1972) these hypotheses have met much criticism¹. Sperber and Wilson point out the two main problems with mutual knowledge hypotheses: 1) participants in successful communication might indeed share knowledge, but not know that they share it, and 2) analyses employing the mutual knowledge hypotheses encounter the problem of infinite regress (i.e. participants knowing that they both share a certain bit of knowledge and that they both know that the other knows can go on indefinitely²).

One useful notion, however, does emerge from mutual knowledge hypotheses. Clark and Marshall ((1981:27), cited in Sperber and Wilson (1986:18-19) note that mutual knowledge is, 'an ideal people strive for because they ... want to avoid misunderstanding whenever possible'. My pilot study confirmed this point, when subjects commented that they wanted to understand a poem as intended by the poet, i.e. to understand the poem based on mutual knowledge. The non-reciprocal nature of written literary discourse makes this a difficult goal to achieve; but, it also increases the reliance on the context found in the text itself, as that context which undoubtedly is mutual knowledge between writer and reader.

Other mutual knowledge views of context come from a broader sense of mutual knowledge, referring to participants' shared 'knowledge of the world', such as mental images based on prototypes stored in the memory³. Mutual knowledge in this sense has been described in various ways, notably, as 'frames' (Minsky, 1975), 'scripts' (Schank and Abelson, 1977) and 'scenarios' (Sanford and Garrod, 1981). These various structures represent a wide range of contextual features affecting linguistic understanding, from encyclopedic knowledge required of lexical comprehension (Sanford and Garrod) to cultural attitudes habitually employed by a hearer (vanDijk, 1981:141).

In linguistics the use of knowledge of the world to describe context is debatable. In some cases, frames or scripts are so mutually known that to include them in a description would be pedantic. In other cases, such contexts are culturally determined, and their role in a description would be vital. In this investigation, the latter case holds (where knowledge of the world is to some extent culturally determined) as a result of the different cultural backgrounds of the subjects.

Relevant Context

Context can also be approached from the standpoint of that which is relevant context. This view is related to the mutual knowledge view as evident in Leech's definition of

context:

... any background knowledge assumed to be shared by s and h (speaker and hearer) (my brackets) and which contributes to h's interpretation of what s means by a given utterance. (1983:13)

Here, context is mutual knowledge and, at the same time, that which is relevant to understanding an utterance⁴.

Brown and Yule (1983:59), who subscribe to this view, expand on the notion of relevant context when they suggest that an interpreter will not construct 'a context any larger than he needs to arrive at an interpretation'. This position on context is adopted in this study to the extent that context is restricted to that which is relevant to readers for the interpretation of given texts.

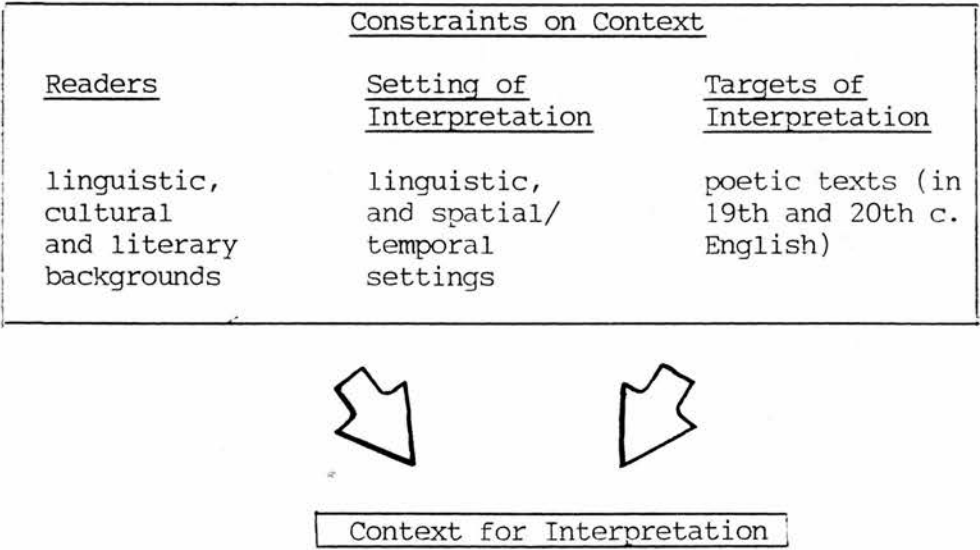
Determining which contextual features are relevant to interpretation is not by any means easy to assess, especially if the objects of interpretation are metaphorical utterances, and as such open to subjective interpretation. This point applies throughout this chapter where the contextual features described will not all be relevant to the given texts for all readers.

In sum, this preliminary discussion on context has demonstrated the difficulties (if not impossibilities) in attempting an accurate representation of context⁵. Moreover, I have pointed out aspects of mutual knowledge hypotheses and relevant context approaches to context which have been used

in the development of contextual features for interpretation.

6.1.2. Constraints on Determining Context

In order to describe features of context the features are grouped in categories. In the construction and delimitation of categories, I first take into account context immediately surrounding the process of interpretation, i.e. the contextual situation in which this investigation took place. I have called these situational elements the 'Constraints on Context'; they are the 'readers', the 'setting of the interpretation' and the 'targets of the interpretation', as introduced in the diagram below:



The 'readers' in this study were non-native English speakers. For the pilot study, their linguistic and cultural backgrounds covered a wide range of mother tongues, second languages and countries of origins (see Appendix C). For the main experimental study, their mother tongue was Japanese,

Japan, their country of origin.

Another constraint on context found in the 'readers' is their literary backgrounds, i.e. their knowledge of literary discourse both in their native languages and in English. In both the pilot and experimental studies the subjects were students of literature written in both their native languages and in English.

The 'setting of interpretation' accounts for elements in the physical environment of the investigation which could affect the interpretation process. The linguistic setting for both the pilot and experimental studies was English, British and American respectively. The spatial/temporal settings for both studies were English language and literature classrooms in the 1980's.

The 'targets of interpretation' refer to the texts used in the experiments. For the pilot study subjects worked with the poems which appear in Appendix A. The experimental subjects responded to "The Garden", which I have also used in illustrating linguistic descriptions.

These constraints on context are not mutually exclusive. In fact, their interaction makes for a contextual situation. For instance, the 'readers', who are non-native English speakers, interacts with the 'targets of interpretation', which are texts written in English, whereby readers might

approach interpretation as a strictly linguistic exercise (as opposed to a linguistic and literary exercise).

This example also illustrates how constraints on context work in relation to the context used for interpretation (which will be discussed below). The fact that the readers are non-native English speakers reading texts written in English results in their context for interpretation being to some extent different than the context for interpretation constructed by native English speakers.

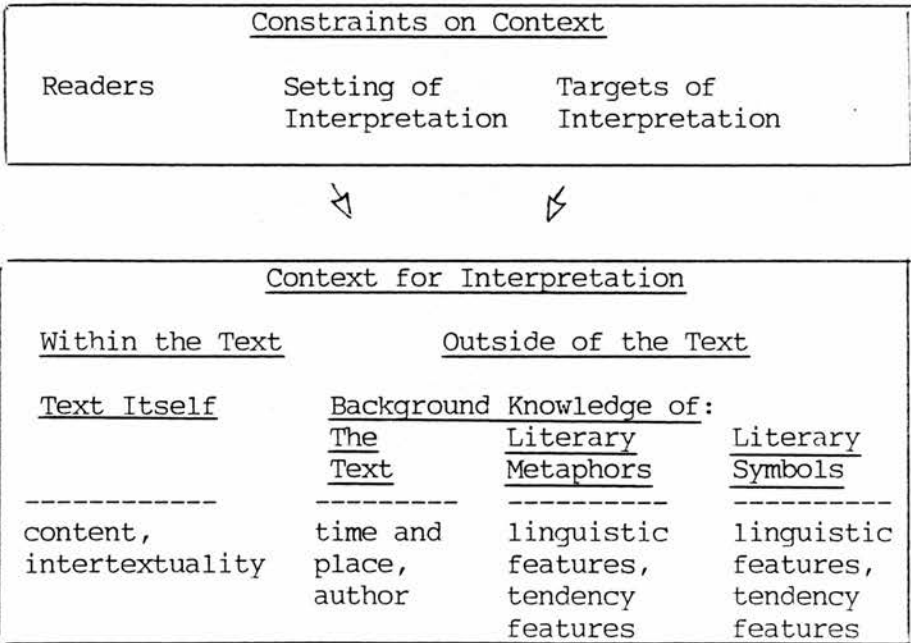
Another example of how constraints on context relate to context used for interpretation involves the spatial/temporal setting and the targets of interpretation. The spatial/temporal setting in which the target texts were written differs from the spatial/temporal setting of the process of interpretation. Thus, these constraints on context in conjunction with the context for interpretation recognize the gap between author and reader.

With the constraints on context set out, the choice of categories in the 'Context for Interpretation' will be clearer. The context for interpretation consists of the following categories: within the text, simply, The Text Itself, and outside of the text, Background Knowledge of the Text, Background Knowledge of Literary Metaphors and Background Knowledge of Literary Symbols. I base my division of con-

textual categories on Noordman's distinction between 'background information' and 'foreground information' (1976:6). Background information accounts for information that is assumed as given, including presuppositions and expectations, whereas foreground information refers only to information which is explicitly communicated.

This manner of dividing contextual categories was chosen for its applicational convenience, where theoretical constructs used in teaching were tested (in the pilot study).

Before discussing the four categories of the context for interpretation, I offer the diagram below which shows the four categories and their subcategories:



6.2.0. The Text Itself as Context

This contextual category consists of two subcategories:

1) the content of the text and 2) the presence of inter-textuality.

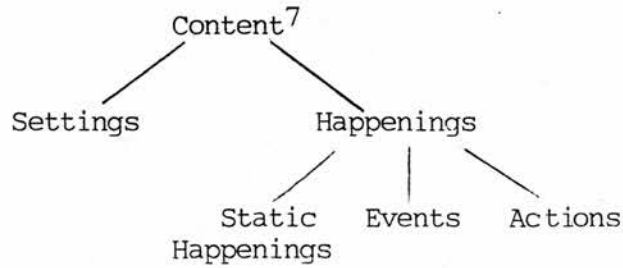
6.2.1. Content of the Text

In order to describe content of the text, I shall first introduce the necessary terms. This will be followed by an application of the terms using "The Garden" as a sample poem. And lastly, I shall describe an additional aspect of this subcategory, namely, the content of utterances, where a text is treated segmentally.

Terminology

Content within a text is described by many literary stylisticians as the context created by the text (as in Widdowson, 1982 and Fowler, 1986). I have chosen 'content' because its use is generally restricted to that which is contained within a text, unlike 'context', which is used to explain elements both within and outside of the text.

I describe content as 'settings'⁶ and 'happenings', the latter of which is divided into 'static happenings', 'events' and 'actions':



'Static happenings' refer to things which occur in a text and remain the same throughout the rest of the text.

'Events' refer to happenings which are either enduring or momentary, but which, unlike 'static happenings', change or alter a situation in the text. 'Actions' refer to those happenings which are controlled by an agent.

The Use of Content

This classification of content applies to literal and metaphorical levels of a text. To illustrate this I will use only one of the metaphorical levels of "The Garden" (repeated below for convenience). (Other metaphorical levels are discussed in the following section on intertextuality.)

The Garden

Enhanced in a tower, asleep, dreaming of him
 The twin buds of her breasts opening like flowers.
 Her fingers leafed and wandering...

Past the well

Blossoms an apple-tree, a horde of birds
 Nested in the thickets of her hair
 Grumble in dreamy dissonance
 Calling him to the garden if he dare.

The content found in "The Garden" is described in the chart below:

Content in "The Garden"

Classes of Content	Literal Level	Metaphorical Level
settings	the garden	her, or to her sexuality
	a tower	phallic symbol
	the well	her vagina
	apple-tree	temptation (Genesis:4)
	horde of birds	promiscuity (Song of Songs)
	thickets	bunches (of hair)
static happenings	enhanced	raised (emotionally/sexually)
	asleep	sexually dormant
events	dreaming	fantasizing
	blossoms	begins
	grumble	make themselves known
actions	her breasts opening	arousal caused by him (or her)
	calling	calling, but not verbally

The literal level (i.e. what the poem literally expresses) describes her calling him to the garden in her sleep. The metaphorical level describes her display of sexual arousal and her call to him (or perhaps her wish) to join her in a sexual act. Here, the literal and metaphorical levels overlap to some extent. For instance, the metaphorical interpretations of 'grumble' and 'blossoms' do not differ greatly from their literal interpretations.

This description of the content found in "The Garden" also expands a point made in Chapter 1, that a poem must cohere. Like the interpretations of the literal level, those on the metaphorical level relate to one another to

form a coherent whole. All of the interpretations given above for the metaphorical level are related to one another, giving the entire poem a sexual interpretation.

The Content of Utterances

Describing contextual features found in the content in terms of an entire text (i.e. treating the text as a whole) is sometimes too general in the case of longer texts. Metaphors could be misinterpreted by the use of contextual features occurring at a point in the text which describes a different happening from that immediately surrounding the metaphor under interpretation.

Examples of this type of misinterpretation occurred during the pilot study. Thus, in addition to the description of the content of the text, context immediately surrounding a metaphorical utterance also needs to be included for the descriptive purpose of this exposition.

To summarize, the contextual subcategory, content of the text, including the content of utterances, accounts for features of context found within the Text Itself. This description was presented in detail sufficient for discussion of the pilot study (in Chapter 10) which in turn formulated an hypothesis tested in the main experiment (namely, that non-native English speakers experience more

difficulties in distinguishing literal and metaphorical levels of the content of the text than native English speakers).

6.2.2. Intertextuality as Context

As intertextuality is one of the central notions under investigation in this thesis, I shall include various uses of the notion with its definition. Following the definition I will present a taxonomy of intertextual referents⁸.

Intertextuality Defined

The theoretical concept of intertextuality accounts for 'the ways in which the production and reception of a given text depends upon the participants' knowledge of other texts' (de Beaugrande and Dressler, 1981:182). This definition adequately reflects a consensus; however, within the domain of literary stylistics it is not wholly usable.

Firstly, knowledge of other texts involved in the 'production' of a given text raises the problematic notion of the author's intentions (discussed earlier in this chapter). Consequently, I use a narrowed definition of intertextuality which involves only the reception of a text⁹. Hutcheon (1988:126) points out the use of such a definition by Barthes (1977:160) and Riffaterre (1984:142-3), where 'intertextuality replaces the challenged author-text relation-

ship with one between reader and text...'. .

Secondly, given that the interest of this exposition lies with the understanding of literary texts, intertextuality can be reduced to cover references which involve meaning. This excludes intertextuality which reveals borrowed syntactic structures, registers and, more generally, genre (in the sense of specific discourse types, e.g. poetry and short story).

These initial restrictions of the use of the term intertextuality still leaves a definition which is limited in its descriptive value. Delimited, the use of intertextuality lies not only in the scope of intertextuality (as suggested above), but also in the identification of intertextual references and referents. I use these points together in considering various uses of intertextuality within literary stylistics.

Todorov's model of intertextuality (a reworking of Barthes' model¹⁰) represents a wide scope for the use of intertextuality with referents which cannot be specifically identified. Todorov describes intertextuality in terms of 'vraisemblance', which Culler asserts is the basic concept underlying intertextuality (1975:138-9). Todorov gives three types of vraisemblance: 1) relation of a text to a general diffused text, or public opinion, 2) traditions which make suitable a particular genre, and 3) conformity to reality

and not to the laws created by the text.

With a narrower use of intertextuality, Kristéva perceives intertextual references as 'citations':

...every text takes shape as a mosaic of citations, every text is the absorption and transformation of other texts. The notion of intertextuality comes to take the place of the notion of intersubjectivity.(1969:146)

Since 'citations' are identifiable by definition, Kristéva's intertextual referents are limited to identifiable sources. Moreover, if Kristéva's use of 'citation' is taken literally (i.e. to refer to a quotation, a verbatim borrowing from other texts), intertextual references are also clearly identifiable¹¹.

This range of views on the scope and identifiability of intertextual references and their referents is complicated further by two notions similar to intertextuality: allusion, an indirect reference, and presupposition, assumed knowledge.

Jenny (1976) distinguishes between allusion and intertextuality by suggesting that allusion refers to 'an element of a prior text without using its meaning', whereas intertextuality refers to 'an entire structure, a pattern of form and meaning from a prior text' (cited in Culler, 1981:104). Culler rightly points out the weakness in Jenny's definitions which is that it would be difficult to refer to an

aspect of another text without carrying some of the meaning and form of that other text with it.

However, the tendency among literary stylisticians (including Culler, 1981, and Eco, 1984) has been to use the term intertextuality in place of allusion and for references of a much wider range (as used by Barthes and Todorov). Due to the ambiguities mentioned above, I follow this trend and treat allusions as a type of intertextual reference without using the term allusion.

The notion of presupposition is also commonly linked to that of intertextuality (as in Culler, 1981; de Beaugrande and Dressler, 1981, and Halliday, 1985). Linguists¹² generally agree that there are two types of presupposition: semantic and pragmatic. For semantic presupposition, Traugott and Pratt give the following definition:

A prediction that is taken for granted when a sentence is uttered. In I resent his leaving the job to me, it is assumed to be true that there was a job to be done and that someone left the job to the speaker. (1980:407)

Culler sees logical semantic presupposition as a 'modest intertextuality' (1981:112), and argues its importance in literature. Among his examples he cites instances where questions are posed in poems, such as in Blake's "Tyger":

What immortal hand or eye
Could frame thy fearful symmetry?

Culler acknowledges the presupposition that 'the fearful

symmetry was framed by an immortal hand'. This observation, however, holds little interpretive value for the reader. Culler's use of semantic presupposition reflects a feature of logical communication which would not need to be drawn to the attention of readers.

For pragmatic presupposition, I use Keenan's much quoted definition :

... a relationship between a speaker and the appropriateness of a sentence in context. (1971:44)

The interaction below serves as an example of pragmatic presupposition:

A: Where's Harry?

B: He's not well today.

(Stubbs, 1983:108)

In B's reply, the pragmatic presupposition is that Harry is at home.

According to Culler, pragmatic presupposition has the following use in describing literary discourse:

We take literary utterance as a special kind of speech act, detached from a particular temporal context and placed in a discursive series formed by other members of a literary genre... In trying to formulate the pragmatic presuppositions of sentences which warn, promise, command, etc., one is working on the conventions of a genre of speech act. (1981:116)

Knowledge of pragmatic presuppositions, in this sense, does not point to intertextual references or referents. Thus, like Culler's use of semantic presupposition, his use of pragmatic presupposition is also of limited value to the reader.

Given a scope for intertextuality, including its use in place of the term 'allusion', yet excluding its use of the notion of 'presupposition', below I describe a taxonomy of intertextual referents. The purpose of this taxonomy is to cover a range of identifiable referents. As for intertextual references, an obvious assumption can be held that the search for intertextual referents has resulted from recognition of possible intertextual references.

A Taxonomy of Intertextual Referents

This taxonomy comprises four levels of intertextual referents: 1) a specific utterance, 2) a specific text, 3) a tradition within literature of text types, and 4) a tradition both within and outside of literature which does not need the original written texts to identify it.

First Level

The first level accounts for intertextual referents which are specific utterances of another text, where understanding the given utterance requires knowledge of the other text. I refer to the following lines from T.S. Eliot's "Rhapsody on a Windy Night" (Appendix A.1.):

Remark the cat which flattens itself in the gutter,
Slips out its tongue
And devours a morsel of rancid butter

These lines strongly resemble Baudelaire's poem "Le joujou du pauvre", where Baudelaire compares a poor child receiv-

ing a toy with 'les chats qui vont manger loin de vous le morceau que vous leur avez donné'. Baudelaire describes the toys of the poor as living things, 'ce joujou, que le petit souillon... c'était un rat vivant!' Thus, the 'toy that was running along the quay' (later in the Eliot poem) may have been a rat or a mouse.

This intertextual reference between the cat and the child from the Baudelaire poem with those of the Eliot poem assists readers in obtaining a plausible interpretation of these lines from the Eliot poem. However, another interpretation of these lines is that they merely describe jumbled images from the present world and the memory world in the poem.

Second Level

The second level accounts for intertextual referents which are specific texts, without borrowing any specific utterance. A given text can borrow elements from the meaning of another text without referring to the other text. It could be assumed that Graves' "The Garden" (last shown in the previous section) borrows the general features of meaning from a poem by Hafiz, the fourteenth century Persian poet, in the "Divan of Hafiz":

Poem from the "Divan of Hafiz"

- 1 The bird of gardens sang unto the rose,
New blown in the clear dawn: "Bow down thy head!"

As fair as thou within this garden close,
 Many have bloomed and died." She laughed and said:
 5 "That I am born to fade grieves not my heart;
 But never was it a true lover's part
 To vex with bitter words his love's repose."

The tavern step shall be thy hostelry,
 For Love's diviner breath comes but to those
 10 That suppliant on the dusty threshold lie.
 And thou, if thou would'st drink wine that flows
 From life's bejewelled goblet, ruby red,
 Upon thine eyelashes thine eyes shall thread
 A thousand tears for this temerity.

15 Last night when Irem's magic garden slept,
 Stirring the hyacinth's purple tresses curled,
 The wind of morning through the alleys stept.
 "Where is thy cup, mirror of the world?
 Ah, where is Love, thou Throne of Djem?" I cried.
 20 The breezes knew not; but "Alas", they sighed,
 That happiness should sleep so long!" and wept.

Not on the lips of men Love's secret lies,
 Remote and unrevealed his dwelling-place.
 Oh Saki, come! the idle dies
 25 With thou feast with heavenly wine dost grace.
 Patience and wisdom, Hafiz, in a sea
 Of thine own tears are drowned; thy misery
 They could not still nor hide from curious eyes.

Both "The Garden" and "Divan of Hafiz" are love poems in which 'she' is 'calling him to the garden'. Both poems display similar metaphorical images: in Graves' poem 'a horde of birds...grumble', while in the Hafiz poem 'the bird of gardens sang...'. A similarity also lies between 'The twin buds of her breasts opening like flowers', and 'as fair as thou within this garden close, many have bloomed and died'; both lines depersonify humans with the attribute of blooming. In addition, the metaphorical use and repetition of the concept of sleep is contained in both poems, in lines 1 and 7 of "The Garden" (discussed in Chapter 5) and in lines 15 and 21 of "Divan of Hafiz".

And, in the final lines of both poems the man is hesitant to enter the garden.

Nevertheless, as a much longer poem, the Hafiz poem contains more images than the Graves' poem. Hafiz's poem reveals more of the man's feelings. Moreover, Hafiz's poem focuses on the man's decision on whether to enter the garden. And the Hafiz poem includes 'the goblet of wine', which has a symbolic meaning in Sufic literature¹³. Such differences could also be brought into an interpretation of "The Garden".

Whether "The Garden" actually borrows the specific text from "Divan of Hafiz" will probably never be known for certain (though it is likely, given Graves' connections with Sufism, which will be discussed in the next section). However, if this intertextual reference between "The Garden" and "Divan of Hafiz" is permitted, "The Garden" holds another level of interpretation. Both poems could carry Sufi tradition where physical love is symbolic of man's spiritual quest. It would then follow that Hafiz's use of the concept of sleep lends spiritual interpretations of sleep to the Graves' poem: sleep could be interpreted as either spiritually dormant, or, where sleep is linked to death, the return of the soul to God.

Third Level

The third level of intertextual referents covers traditions of literary text types. The Hafiz poem stems from a tradition in Sufi literature, which typically employs sexual imagery within the 'secret garden' as symbolic of a spiritual quest.

With Sufic tradition as an intertextual referent, the 'apple-tree' in "The Garden" can be linked to the apple trees found in poems by Khayaam and Rumi, where it is symbolic of love sickness (said to result from drinking apple wine¹⁴). In addition, 'the tower' can be found in Sufic literature as symbolic of refuge against beasts and earthly passions.

By employing intertextuality of the third level another metaphorical interpretation is attributable to "The Garden". The poem may refer to the story of Adam and Eve in the Garden of Eden. In addition to the links with sexuality and spirituality (similar to those in Sufi tradition), this intertextual referent reveals the concept of condemnation. As an intertextual referent, the Garden of Eden establishes a literary tradition which can be found in works from Milton and Marvell through to the present day.

In a more specific sense, the third level could include

parody. In the case of parody, knowledge of specific discourse types are required for the understanding and appreciation of a given text.

Fourth Level

An intertextual reference linking "The Garden" to the Garden of Eden could also be classified under the fourth level. In this level referents derive from traditions (including non-literary traditions) which do not require the original text for identification. The story of Adam and Eve has been incorporated into Western culture, from oral story-telling, paintings, films and so on.

In sum, these four levels of intertextual referents serve as descriptive devices of the ways in which context within a text is created from specific knowledge of other texts. Central to my main experiment (discussed in Chapter 11), the use of these contextual features plays a key role in the interpretation of "The Garden", as illustrated above.

6.3.0. Context Outside of the Text

In this section, I shall discuss the contextual categories which I place under the heading 'Context Outside of the Text'. These categories are: Background Knowledge of the Text, Background Knowledge of Literary Metaphors and

Background Knowledge of Literary Symbols.

Unlike the other contextual categories in this study, Background Knowledge of Literary Metaphors and Background Knowledge of Literary Symbols account for knowledge of a general linguistic type, not specific to a given text. The inclusion of these two categories met the needs of the subjects of my pilot study; these subjects required, as an aid in interpretation, definitions explaining the general linguistic qualities of metaphors and symbols.

6.3.1. Background Knowledge of the Text

The contextual category Background Knowledge of the Text emphasizes contextual knowledge found in the situation in which a text was written, knowledge which might not be available to readers due to the spatial/temporal distance between them and the author. This category comprises two subcategories: 1) author and 2) time and place.

As a preliminary note, it should be mentioned that the need to use such contextual features is debatable. Derrida (1977) claims that the writer takes into account the spatial/temporal barrier between writer and reader, using only meanings (and therefore context) which can be duplicated when the text is read. To some extent I agree with Derrida, in that a writer, presumably, wants his work to be accessible to as large an audience as possible, thus,

he would attempt to use meanings understood beyond the spatial/temporal context of the writing of the text. However, it is unlikely that a writer could predict what a future context might include. In addition, a writer, presumably, writes for the appreciation of his contemporaries, and thus, would write for their understanding, within the spatial/temporal context of the writing of the text.

Author

This subcategory covers contextual features found in other texts written by the author and found in information about the author's personal life.

Contextual knowledge derived from other texts written by the author includes knowledge of a particular text, or of a typical theme expounded by the author across numerous texts¹⁵. Graves' poetic works frequently employ inter-textual references whose sources lie in the Bible (as in his poems "Joseph and Mary" and "King Jesus"). Such contextual knowledge may trigger interpretations of Graves' "The Garden" in which the poem refers to the Garden of Eden from Genesis (as discussed earlier).

Graves' prose works also provide contextual features relevant to interpreting "The Garden". Graves wrote the intro-

ductions to Indries Shah's The Sufis (an account of traditions and principles of Sufism) and to a collection of poems by the Sufic poet Khayaam (which Graves also translated). This contextual knowledge permits Sufic interpretations of literary metaphors and symbols found in "The Garden" (also discussed earlier).

Information about Graves' personal life also serves as context applicable to "The Garden". This context comes from knowledge of Graves' relationship to Indries Shah and of the controversy surrounding Graves' translations of the poems by Khayaam.

One account of the friendship between Graves and Shah by Seymour-Smith includes the following comments:

His friend, Indries Shah, upon whom he placed great reliance, encouraged him (Graves) in his own thinking and behaviour, and the extent to which he reinforced this with Sufic lore. (1987:555)

Contextual knowledge, such as that provided in the excerpt above, suggests a Sufic interpretation of "The Garden" as Graves' contribution to 'Sufic lore'.

While many readers might not be aware of Graves' friendship with Indries Shah, surprisingly, a few subjects of my pilot study held vague recollections of Graves' interests in Sufism due to his translations of Khayaam's poems (1967). Graves met opposition to his introduction to Khayaam's work when he referred to Khayaam as the 'Sufic voice'; this

view was not held by Fitzgerald (1858), who had translated the only edition of Khayaam's poems into English previous to Graves. The resulting controversy among scholars (as explained in Seymour-Smith, pp. 555-59) helped to bring Khayaam's work, as translated by Graves, to the public's attention.

Time and Place

The time and place subcategory accounts for features which represent context of the interrelated time and place in which a text was written. Here, I have combined time with place in order to take into account features determined by a cultural setting.

When interpreting "The Garden" contextual features of time and place are of limited value. "The Garden" was written in Britain between 1964-67. This knowledge does not provide relevant context usable in formulating interpretations of metaphors and symbols found in this poem.

However, the value of contextual features of time and place can be illustrated using other literary texts, for example, Orwell's Animal Farm. For the interpretation of this novel, features of time and place would include the political, ideological and cultural environments at the time and place in which the text was written. As a political satire about socialist revolutions, Animal Farm was of

political interest in its day; hence, the contextual features of time and place assist the reader of today in interpreting the text as it was intended for the reader at the time and place in which it was written.

To summarize, the category Background Knowledge of the Text covers contextual features pertaining to the author of the text and the time and place in which the text was written. Examples of these types of contextual knowledge have been given in this section; similar descriptions employing this contextual category will be applied to subjects' responses to poetic texts (in Chapters 10 and 11).

6.3.2. Background Knowledge of Literary Metaphors

The category Background Knowledge of Literary Metaphors accounts for contextual knowledge of linguistic characteristics of metaphors. This category consists of two subcategories. The first, linguistic features, covers qualities inherent in literary metaphors. And the second, tendency features, covers various types of metaphors which follow the structure set out by the linguistic features.

Linguistic Features

Features of this subcategory lie in the knowledge of what linguistically defines literary metaphor. Halliday (1985)

mentions the general and specific uses of the term 'metaphor'. In a general use, metaphor refers to figures of speech 'having to do with verbal transference of various kinds' (p.319). In a specific use, metaphor is distinguished from metonymy and synecdoche; in metaphor a word 'resembles that which it usually refers to', whereas in metonymy and synecdoche, a word resembles that which it is 'related to'¹⁶.

Halliday's general use of 'metaphor' best suits the needs of this study. I group synecdoche and metonymy with metaphor because literary synecdoche and metonymy require inferencing procedures for interpretation similar to those of literary metaphor. (This is suggested by Eco (1984), whose inferencing schema is described in Chapter 8.)

In addition to this general use of the term 'metaphor', I use three descriptive terms common to definitions and theories of literary metaphor (as discussed in Chapter 3): comparative, juxtaposed and synecdochal. 'Comparative' being self-explanatory, 'juxtaposed' is the joining or placing side by side of two unlike things which creates tension and forces an association between the things. And 'synecdochal' refers to metaphors in which a part is used to represent a whole, or its reverse, where the whole is used to represent a part.

Tendency Features

Tendency features for literary metaphors refer to semantic tendencies in a loose sense, such as abstract entities attributed with concrete qualities. These tendencies can be understood in terms of types of metaphors. For the various types I offer the following labels: personification, depersonification, poetic metonymy and ontological metaphors. Tendency features also refer to extensions of the types of metaphors just mentioned; these are: compound metaphor, mixed metaphor, idiom and symbol¹⁷.

Placing these labels into a contextual category may appear peculiar to the native English speaker, or to advanced students of literature. These labels, however, best served the literature students used in this investigation. (As a pedagogic issue, the labelling of metaphors will be discussed in Chapter 13.)

Types of Metaphors

Personification refers to metaphors in which non-human entities are given human attributes. The antithesis of personification, depersonification, refers to metaphors in which humans are given non-human attributes.

The term 'ontological' metaphor covers metaphors which

involve giving abstract entities attributes of concrete entities. Ontological metaphors are often personification at the same time; abstract entities acquire substance in the form of human beings. For example, 'inflation has given birth to a money-minded generation' (from Lakoff and Johnson, 1980:33).

Metonymy accounts for instances where the name of a thing is transferred to take the place of a thing with which it is being associated. The term poetic metonymy refers to metonymy which creatively draws attention to the renaming itself. For example, 'blind mouths' referring to corrupt priests (from Milton's "Lycidas"). Non-poetic metonymy, on the other hand, serves as a convenient way of referring to an entity; for instance, 'the White House' referring to the president of the United States. Of course, in this study interest lies in cases of poetic metonymy.

These major types of metaphors (personification, depersonification, ontological metaphors and poetic metonymy) can be found either on their own, or in compound metaphors, mixed metaphors, idioms or symbols. Below I shall describe these extensions of metaphors, drawing particular attention to idioms.

Compound metaphors describe instances where more than one metaphor occurs within one metaphorical utterance, as in

'Man is Machine, Machine is Man' (from W. Gibson, used on subjects' in-class handout, see Appendix D). Mixed metaphors describe compound metaphors in which the metaphors clash, or are incompatible; for example, 'as we packed up our work, I quietly chalked up another day under the belt'.

Idioms

Idioms are a type of dead metaphor, i.e. those metaphors which have occurred so frequently the comparisons between the literal meanings are no longer recognized by readers. From an Adrian Mitchell poem (in Appendix A) come the example, 'take the stupid tea'. Referring to entities, such as tea, as 'stupid' has become idiomatic because readers, familiar with metaphorical uses of 'stupid', are not likely to think of tea as being personified by the adjective 'stupid'. (While this example is idiomatic in this sense, it could also be classified as an example of 'lexical hyperbole' (as described by Crystal and Davy, 1969:114).)

Defining idioms as 'dead metaphors' is somewhat unreliable on its own. Since metaphors are killed with overuse, metaphors are dying all the time. Moreover, some metaphors do not retain their dead status. In The Sound of My Voice, by Ron Butlin (1987), the author has resurrected the idiom 'the hair of the dog', which refers to an alcoholic drink used presumably to cure a hangover. Butlin's reader is made aware of the literalness (required of the metaphorical

interpretation) that has been lost by having 'the dog' follow his master until the master is intoxicated once again.

Furthermore, some metaphors are so dead they might be considered dead idioms. This occurs in cases of polysemy, as in 'the foot of the mountain'. Also, 'conduit' metaphors may be seen as dead idioms (these are described by Lakoff and Johnson, 1980); they involve placing abstract things 'into' other things (analogous to concrete entities going into containers), such as 'putting your feelings into words'. Both polysemy and conduit metaphors have lost their metaphorical and idiomatic impacts to the extent that the uses are common to denotative meanings.

It should be pointed out that idioms can also be defined irrespective of their relation to metaphors. Cruse (1986:37) expands on a commonly held definition (similar definitions can be found in Leech, 1974 and Traugott and Pratt, 1980) for idiom when he explains:

An idiom is an expression whose meaning cannot be accounted for as a compositional function of the meanings its parts have when they are not part of idioms...

This explains another aspect of idioms; however, as Cruse points out, 'to apply the definition, we must already be in a position to distinguish idiomatic from non-idiomatic expressions' (ibid).

Lastly, since the relationship between a symbol and what it stands for may be described as metaphorical (i.e. comparative, juxtaposed or synecdochal), I treat symbols as an extension of metaphor. Features which distinguish symbols from metaphors will become apparent from the contextual category on literary symbols (in the following section).

In sum, the category Background Knowledge of Literary Metaphors covers contextual knowledge of the ways in which meanings are transferred in metaphors, as illustrated with the use of terms 'comparison', 'juxtaposition' and 'synecdoche'. In addition, this category covers the major types of metaphors (personification, depersonification, poetic metonymy and ontological metaphors) and extensions of these types (as in compound metaphors, mixed metaphors, idioms and symbols).

6.3.3. Background Knowledge of Literary Symbols

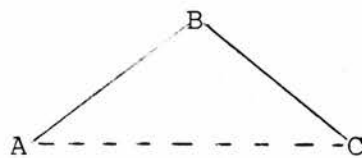
Similar to the category of the previous section, on literary metaphors, Background Knowledge of Literary Symbols covers contextual features typifying the linguistic nature of literary symbols. This category is also made up of the two subcategories, linguistic features and tendency features. Linguistic features account for linguistic traits inherent in literary symbols, while tendency features account for types of literary symbols.

Linguistic Features

In Chapter 1, my skeletal definition referred to literary symbols as a word or phrase often depicting an image, which stands for an abstract concept. This definition includes both linguistic features, as found in the ways a word or phrase represents something, and a tendency feature, whereby a concrete image usually represents an abstract concept. Here I shall address these linguistic features.

Since both symbols and signs represent something, my approach to these linguistic features will be to compare symbols to signs. This will include the metaphorical aspect of symbolic representation.

In linguistics, symbols and signs have appeared in theories on the meaning of 'meaning'. Often this is illustrated by a triad construct¹⁸:



For Pierce (1941) A represents 'sign', while for Ogden and Richards (1923) it represents 'symbol'. (B and C stand for 'interpretant' and 'object' according to Pierce, and 'thought' and 'referent' according to Ogden and Richards.) In these analyses, 'symbol' and 'sign' similarly account for words (as auditory and visual symbols/signs) when abstracted from their

meanings. Here, the difference between symbol and sign is mainly terminological. Symbols and signs may be employed to represent something, analogous to the way words represent meanings.

The difference between symbols and signs is noted in literary stylistics. Firth makes this distinction: compared with signs, symbols are classed as, 'those representations where there is much greater lack of fit -- even perhaps intentionally -- in the attribution of the fabricator and the interpreter' (1973:66-67). Symbols, especially literary symbols, tend to be imprecise, holding multiple interpretations. Signs, on the other hand, tend to be employed with greater ease, expressing their intended signification.

Firth's distinction is taken up by Eco (1984:132-34) who sees the impreciseness of symbols in the light of their referring capacity. Eco classifies signs as a genus, of which symbols are a species. Here, 'symbol' is a term employed for a sign which is only tentatively assigned a referent. Similarly, Saussure claimed that symbols (referring to symbols in the arts) were initially signs, i.e. having a specific referent, but became symbols 'only in the hands of the critic' where their reference was disputed (Saussure, 1973:30).

Tindall, however, attributes the impreciseness of symbols, not to their referring capacity, but to the nature of the referent

itself:

If we define a sign as an exact reference, it must include symbol because symbol is an exact reference too. The difference seems to be that a sign is an exact reference to something definite and a symbol an exact reference to something indefinite. (1955: 5-6)

This explanation not only offers an alternative understanding of the impreciseness of symbolism, but it also offers a description of icons, which are also used in literary symbolism. By definition, icons depict an exact reference (as found in Morris, 1964:68 and Lyons, 1978:99-102). They could be signs, if they refer to something definite, or symbols, if they refer to something indefinite (the latter use can be found in Douglas, 1970). To this, I add that a given icon may be employed as a sign in some contexts and as a symbol in other contexts. As an icon, a cross may refer to a definite referent, such as the crucifixion¹⁹, or to an indefinite referent, as in the many aspects of Christianity.

Similarities and dissimilarities between symbols and signs, as briefly discussed above, help to describe linguistic features of literary symbols. Another linguistic feature emerges from the relation between referents of a literary symbol and the images portrayed. This relationship is often viewed as an 'analogic correspondence' (Eco, 1984), or a metaphorical relation' (Tindall, 1955). This was pointed out in the previous section, where literary symbols were grouped as a type of metaphor.

Tendency Features

Earlier in this section, I mentioned a tendency which is part of a skeletal definition for literary symbols: in a literary symbol, a concrete image usually represents an abstract concept. After looking at this characteristic as a tendency feature, I shall discuss other tendency features, which fall into one general grouping: features emerging from the relationship between reader and text, i.e. the manners in which symbols are manifested in texts.

Concrete Symbolizing Abstract

The first tendency feature covers the role of concrete and abstract elements in a literary symbol. For instance, the 'garden', in Graves' "The Garden", is a concrete element which symbolizes (in one interpretation) 'spirituality' which is an abstract element.

Also under this type of tendency feature I include elements of symbols which are not strictly speaking concrete: as in instances where colours are employed as symbols. Examples include white for 'purity' and red for 'passion' and 'violence'. Similarly, seasons evoke imagery which is perceivable, but not strictly concrete, and is used to symbolize abstract notions. For example, spring for 'fertility' and autumn for 'change'.

Manifestation of Symbols

This second group of tendency features accounts for the ways in which symbols appear, or are manifested in a text. The three specific tendency features are: 1) symbols created within a text in the form of a metaphor, 2) symbols created within a text by other stylistic features, such as opposition and repetition, and 3) symbols which appear in a text with or without the aid of the first two features, but whose meanings derive from symbols in other texts (i.e. through intertextuality).

Earlier it was said that symbols are a type of metaphor, and that often metaphors are also referred to as 'symbolizing' something. I have categorized the metaphoric reference between entities in such symbols as a linguistic feature; this type of manifestation of symbols, however, constitutes a tendency feature. In these cases, a metaphor is employed to establish a symbolic relation between entities, and when one of the entities appears later in the text it stands as a symbol.

The second type of tendency feature which reflects how symbols are related to the reader involves the stylistic features of semantic repetition and opposition. In Chapter 5, repetition was utilized for the recognition of literary symbols; this stylistic device serves not only as a signal to

the reader that an image may require a symbolic interpretation, but also serves to create the symbol itself. When an image is repeated in a text, the semantic connexions between the different contexts of utterance, for each occurrence of the image, are linked, thus creating the symbolic significance of the image. Examples of this from "The Garden" were given in Chapter 5, including the repetition of 'sleep' in the poem.

The stylistic device of semantic opposition can also be described as a tendency feature of the second type of manifestation of symbols. Some symbols are interpreted by their appearance in contrastive pairs. Examples of this common to literary discourse include light/dark, good/evil and fertility/infertility. Levi-Strauss suggests that such oppositions need to occur within the same text for their symbolic meaning to emerge (cited in Culler, 1975:226). While this is often the case, symbols which have frequently appeared as part of a contrastive pair retain their symbolic meaning (as part of a pair) on their own. In "The Garden", images of sleep occur without their opposing image of wakefulness; yet symbolic uses of sleep as death (or man's spiritual enlightenment) with opposition to life (or man's attachment to his physical existence) may be evoked from the use of 'sleep' in the context of the poem.

These examples of symbols could also be subsumed under the

third type of tendency feature accounting for the ways in which symbols are manifested, i.e. symbols whose meanings derive from symbolic uses of the same image found in previous texts. These involve the use of intertextuality (as discussed in 6.2.). Examples of symbols involving intertextuality include symbols deriving from the Bible and western cultural traditions.

The category Background Knowledge of Literary Symbols has been discussed in terms of linguistic features and tendency features. Linguistic features cover ways in which words or phrases, forming an image, symbolically represent something. Tendency features cover the role of concrete and abstract elements in symbols and the ways in which symbols are manifested in a text; these ways have been formulated into a typology of literary symbols: 1) symbols created within a text in form of a metaphor, 2) symbols created within a text by other stylistic features, such as opposition and repetition, and 3) symbols which appear in a text with or without the aid of the first two features, but whose meanings derive from symbols in other texts (i.e. through intertextuality).

6.4. Concluding Remarks on Contextual Features

The contextual features presented in this chapter are not the only possible features which subjects could have used. For instance, the views of literary critics (which I would clas-

sify as Background Knowledge of the Text) could have been used by subjects. I have excluded such features due to the classroom setting of the experiments and because none of the subjects' responses to poems revealed such knowledge. Moreover, it would have been difficult to explore readers' backgrounds in literary criticism.

Nevertheless, the contextual features presented in this chapter have served to some extent in filling a gap in current pragmatic approaches to metaphor. As pointed out in Chapters 2 and 3, current pragmatic approaches (including Reinhart, 1976, Searle, 1979 and Eco, 1984) do not specify to what the term 'context' refers. Here, by use of actual texts and readers, contextual features (used in interpreting literary metaphors and symbols) are described. In order to specifically describe context, however, the scope has been narrowed to the context required for use by subjects in this investigation and to that required for a description of subjects' responses. Thus, this approach to contextual features serves as a paradigm for other approaches.

CHAPTER 7

Determining Linguistic Content

7.0. Introduction

In this chapter, I shall examine the second stage of interpretation, that in which readers determine linguistic content. The terms 'linguistic content' are restricted to refer to meanings of lexemes found in a given metaphor. A broader use of this term would include contextual features, such as those described in the previous chapter. The separation of linguistic content from context is for descriptive clarity, and is not intended to suggest that word-meaning is devoid of context. In fact, the relationship between meaning and context is crucial to the method proposed here for distinguishing aspects of lexical meaning.

The scope of this study is also restricted to lexical meaning required in the interpretation of literary metaphors and symbols. Many characteristics of lexical meaning traditionally covered in literary stylistics are ruled out by this: such as, the repetition of lexical items for thematic prominence, ironical uses, ambiguity (aside from those emerging from metaphorical interpretations) and lexical patterning. Such issues are intentionally neglected in order to retain the focus of my investigation.

This chapter consists of two main sections. In the first, section, I define terms which are used to describe lexical meaning: viz. denotative and connotative meanings. Given the importance of connotative meanings in the interpretation of metaphors, I devote a section within this first section to aspects of connotative meanings. In the second main section, I explain the use of Eco's schema as an aid in determining lexical meaning. This schema is intended to be used in conjunction with an understanding of the notions of denotation and connotation.

7.1.1. Denotative and Connotative Meanings

The terms 'denotative' and 'connotative' pertain to types of lexical meanings. These terms will first be described with broad definitions, and then, narrower definitions, which are based on the discriminating feature of context-dependency.

'Denotation' has two uses in linguistics. It can designate an 'entity' which is referred to by a given word, or a 'concept' of an entity. As the latter use covers abstract as well as concrete nouns, it is more appropriate for this study. Thus, I give the terms 'denotative meaning' the following general definition:

A denotative meaning of a word is the association, whether the referent is concrete or abstract, which the word commonly depicts. (Naturally, a word can have more than one denotative meaning, where more than one association is obtainable.)

This definition of denotative meaning is intended to cover the main characteristics embedded in the term's use¹. Moreover, this definition serves so as not to equate denotative meaning with a 'dictionary definition' (as found in Nash (1971))². A dictionary definition is not necessarily the association which is 'commonly' used by readers. Lyons (1977:209) illustrates this point with the word 'cow', whose dictionary definition is, 'a mature female bovine animal'. Most English speakers would not think of a cow as a 'bovine' every time they come across the word. In this case the denotative meaning would be more easily expressed in the form of an image of a four-legged animal with udders, etc.. The sense of denotation intended for this study, therefore, is a looser one, more suited to the actual interpretive processes of readers.

Like denotation, the term 'connotation' has varied uses in linguistics. Palmer (1976:63) comments that, 'it often refers to emotive or evaluative meaning', and adds that connotation is 'also used to refer to stylistic or dialectic differences or even to the small differences that are found in near-synonyms.' My use of the terms 'connotative meaning' extends Palmer's to include additional possibilities (which will be discussed below) as follows:

A connotative meaning of a word is an additional association of emotions, cultural evaluations, remembered experience, or other various possibilities.

In order to assign a connotative meaning to a lexical item, a denotative meaning is prerequisite as something to which an 'additional' association can be applied. For Mill (1843), denotative meaning was, 'one which signifies a subject or an attribute only', while connotative meaning, 'denotes a subject and implies an attribute.'

Context-Dependency

For more specific definitions of denotative and connotative meanings, I employ the notion of context-dependency. Barsalou (1982) proposed two types of properties associated with concepts, these are context-dependent and context-independent properties. I view denotative meanings as depicting context-independent properties, those properties which are, 'activated by a word or concept on all occasions'. Likewise, connotative meanings depict context-dependent properties, those properties which are, 'rarely if ever activated by a word for a concept and are only activated by relevant contexts in which the word appears' (p. 82).

There are two main advantages with using the context-dependency feature in this way. Firstly, the context-dependency feature has been observed empirically as a reliable discriminator. Barsalou (1982), Conrad (1978) and Tabossi and Johnson-Laird (1980) observe that properties were fairly consistently indicated by subjects as either context-inde-

pendent or context-dependent. Secondly, context-dependency has been applied to a description of metaphors. Barsalou (following Ortony (1979b)) points to one way in which context-dependency features apply to the terms contained in metaphors:

In many metaphors, the shared property may be CD (context-dependent) in the subject and CI (context-independent) in the referent....That is, the referent serves as a context for the subject, activating relevant CD properties. (pp. 90-91)

Barsalou forms his hypothesis using as data a basic 'copular' metaphor: Ortony's 'Sermons are sleeping pills'. In this metaphor, the property 'induces drowsiness or sleep' is context-dependent for 'sermons' (the subject), but context-independent for 'sleeping pills' (the referent) (Ortony (1979b) uses the terms 'low salience' and 'high salience', respectively.).

Given that metaphors can have more than two terms or concepts (as in compound metaphors and metaphors with multiple interpretations), this claim needs to be extended in order to apply its basic notion beyond the scope of copular metaphors. Thus, I rephrase Ortony and Barsalou's claims to: at least one of the terms of a metaphor uses context-dependent (or connotative) meanings.

Moreover, while context-independent meanings may be present in copular metaphors, for other types of metaphors all of the terms may involve context-dependent meanings. For example, in '...a horde of birds...Grumble in dreamy dissonance...'

(from "The Garden"), context-dependent (or connotative) meanings for 'a horde of birds', such as the murmuring sound they make, emerge in the context of 'Grumble in dreamy dissonance'. Here, connotative meanings of 'grumble' also need to be employed for interpretation: namely, that grumble is used in the sense of grumbling in one's sleep (aided by the context of 'dreamy dissonance'), as opposed to a more likely denotative meaning of 'complaining'. In this case, it seems that both terms use context-dependent properties to some extent.

Although the context-dependency feature has assisted in defining denotative and connotative meanings, the feature is not foolproof. As Friedrich (1979:451) points out, while denotative meanings can be given independent of a linguistic context, they are still influenced by the context of the individual's symbolic system, his personal attitude and understanding of his culture and language. And when a lexeme has more than one denotative meaning, the use of context plays an essential role in choosing the appropriate meaning.

7.1.2. Aspects of Connotative Meanings

I have classified aspects of connotative meanings as follows: collocative, reflective and attitudinal aspects.³ These aspects are not usually treated in descriptions of connotative meanings (as found in Leech, 1974 and Palmer, 1976). By recognition of context-dependent properties, however, the

aspects which I shall discuss are appropriately placed under the cover term of 'connotative meanings'.

'Collocative' aspects refer to 'the associations a word acquires on account of the meanings of words which tend to occur in its environment' (from Leech, 1974:26). The notion of collocation is typically employed to account for lexemes which are restricted in their use, such as the adjective 'bandy' with 'leg' (an example given by Lyons, 1977:613⁴). The word 'bandy' rarely occurs without the word 'leg'. Thus, when 'bandy' appears on its own, expressions such as 'bandy-legged' may influence (or serve as context for) meanings assigned to 'bandy'.

The notion of collocative aspects can assist in describing interpretations of 'enhanced in a tower', from "The Garden". Interpretations of the lexeme 'enhanced' in this context may be influenced by the frequent co-occurrence of 'enhanced' with expressions like 'the flavour', and the infrequency of 'enhanced' with 'in a tower' (where 'enhanced' modifies a person).

Similar to collocative aspects, reflective aspects also have to do with the reader's expectations of the use of certain lexemes. Leech defines reflective meaning as arising 'when one sense of a word forms part of our response to another (sense of the word (my brackets))' (p.19). As an example,

Leech refers to the word 'erection', which is difficult to use 'innocently'.

Reflective aspects can be applied similarly to interpretations of literary metaphors and symbols. For example, when the reader comes across the word 'tower' in "The Garden", the use of the word (or image) as a phallic symbol in other literary texts may influence the assignments of properties to the word in the context of "The Garden". Here, 'connotation' covers additional meanings which arise from the use of literary symbols through intertextuality (as discussed in the previous chapter).

Lastly, I define attitudinal aspects of connotative meaning as those aspects which bear upon the reader's emotions and consequently heighten the reader's awareness of the writer/reader relationship. This definition is derived from Leech's 'affective meaning' and his 'stylistic meaning'. Leech's 'affective meaning' refers to 'what is communicated of the feelings and attitudes of the speaker (or writer (my brackets))' (p.26), such as the use of exclaiming words. Leech's 'stylistic meaning' refers to 'what is communicated of the social circumstances of language use' (ibid), such as uses indicative of social relationships between speaker and hearer.

Attitudinal aspects can account for sexual connotations applicable to phrases like 'a horde of birds' and 'in a

tower', where knowledge of intertextual references is not present. In addition, attitudinal aspects can account for effects that the word-choice of the poem have on lexical items. For instance, if "The Garden" were written with more colloquial words, the spiritual level of the poem (and consequently, connotative meanings of spirituality) would not be detectable.

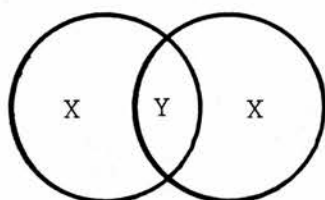
This classification of aspects of connotative meanings into collocative, reflective and attitudinal aspects serves as a general description of the possibilities of connotative (or context-dependent) meanings involved in the terms found in metaphors. An additional classification was employed to help subjects (of the pilot study) capture these aspects of connotative meanings and assist in finding the appropriate denotative meanings; as this additional classification is also of descriptive value, it is discussed here, in the next section.

7.2. The Use of Eco's Schema for Assigning Lexical Meanings

The description of lexical meanings in the previous section covers a wide range of possibilities for the types of meanings within metaphors. Narrowing these possibilities and applying them to the interpretation of metaphors is discussed here by using Eco's schema of interpretation; this schema also serves as an additional classifying description of the lexical meanings themselves. In this section, I shall describe

only the portions of the schema which pertain to the search for lexical meanings (whereas, in Chapter 8, I discuss the portions of the schema which pertain to inferencing procedures).

For clarification of Eco's schema, I start with a diagram (similar to that used by Eco) which represents the interpretive process:



Here, the X's stand for the things (entities or actions) which interact, i.e. are compared, juxtaposed or placed in a synecdochal relation. (It should be noted that Eco uses X to refer only to nouns.) Within each circle are the properties of X, and Y represents the intersection of properties. Eco describes the properties involved in a given metaphor as follows:

/X/ **C** F A M P , where X is a noun, F stands for the 'perceptual aspect of X', A for "who or what produces X", M for "what X is made of" and P for "what X is supposed to do or serve for".

This schema serves to describe properties in a more specific way than the sole use of the terms denotative and connotative. This point can be illustrated using the simple metaphor 'Man is Machine' (taken from the teaching programme of the pilot study). In this case, the FAMP properties of X would be as follows:

F = Humanlike (for man), Metal construction
with wheels and engines (for machine)
A = God or microparticles (man), Man (machine)
M = Flesh (man), Metal (machine)
P = Work and reproduce (man and machine)

However, weaknesses lie in the schema per se and in its use by readers. Below, I will discuss the former, and retain the latter issue for Chapter 12 (where I discuss the application of the schema by subjects of the pilot study).

Eco's schema is limited in its descriptive value because it is intended for metaphors in which the X terms are nouns (as in the example above). Metaphors in which actions are involved would require rephrasing into terms of contrived nouns. This point may be illustrated with the metaphor 'enhanced in a tower' (from "The Garden"). In order to use Eco's schema, a relative noun phrase would need to be invented, such as 'things which could be described as 'enhanced''. This phrase would serve as one of the X terms, which would then be attributed with FAMP properties. In this case, FAMP properties are difficult to assign to 'things which could be described as "enhanced"'. .

7.3. Concluding Remarks on Determining Linguistic Content

This chapter has described linguistic content by exploring the notions of denotative and connotative meanings and by employing Eco's schema of interpretation. The descriptions presented here will assist the discussions of subjects'

responses in Part III.

In addition, this portion of the theoretical approach has used the pragmatic notion of context in order to describe lexical meaning. This contributes to current pragmatic approaches (discussed in Chapter 3) in pointing towards one possible presentation of lexical meaning found in literary metaphors (and symbols) which does not wholeheartedly rely on the field of semantics.

CHAPTER 8

Inferencing Procedures

8.0. Introduction

In this chapter, I shall discuss inferencing procedures involved in the interpretation of literary metaphors and symbols. In the framework of comprehension theories, inferencing comes at the third and final stage of comprehension. During this stage, readers draw inferences from context (as described in Chapter 6) and linguistic content (as described in Chapter 7).

This chapter contains two main sections. The first introduces the concept of inferencing. The second section describes inferencing procedures for the interpretation of literary metaphors and symbols based on Eco's inferencing schema.

8.1. Introduction to Inferences

In several pragmatic analyses of verbal communication, such as Levinson (1983) and Brown and Yule (1983), the terms 'implicature' and 'inference' are employed in the description of indirect speech acts. In these analyses, 'implicature' applies to the action of a speaker performing an indirect speech act, and 'inference' applies to the action a hearer undertakes in order to comprehend an indirect speech act¹. Psycholinguistics, cognitive science and artificial intelli-

gence, however, take a much broader view of inferences, accounting for not only indirect speech acts, but also for direct speech acts (for example, Warren et al.(1979) examines story comprehension) and the way in which individual words are assigned meanings (as found in Habel, 1983). This broader view of inferences is used here in order to describe the comprehension of literary metaphors and symbols.

Given the above mentioned relationship between inferences and implicatures, as an introduction to inferencing procedures involved in interpreting metaphors, I shall discuss implicatures involved in the production of metaphors. This preliminary discussion will serve to clarify inferencing procedures. Following this discussion on implicatures, I intend to give a brief overview of inferencing which will provide a general understanding of the concept per se.

Types of Implicatures

Based on Grice (1975), implicatures can be divided into two main groups: conventional and non-conventional². In conventional implicatures, 'the conventional meanings of the words will determine what is implicated'(p.44). Non-conventional implicatures are of two types: conversational and non-conversational. Grice focused on the conversational variety of non-conventional implicatures, and described them as 'essentially connected' with the Cooperative Principle and its

maxims. In conversational non-conventional implicatures meanings emerge from the fact that, 'participants in conversation are constrained by a common goal of communication to be cooperative' (Sadock, 1978:282).

Grice categorized metaphor as the use of 'a procedure by which a maxim is flouted for the purpose of getting a conversational implicature by means of something of the nature of a figure of speech' (Grice, 1975:52). I suggest that metaphors, however, belong to the class of implicatures which Grice calls non-conventional non-conversational implicatures (which unfortunately, are poorly described by Grice (as Sadock notes, 1978:282)). These implicatures are related to 'other maxims (aesthetic, social, or moral in character)' (Grice, p. 47).

Whether one supports Grice's claim that metaphors involve non-conventional conversational implicature, or my suggestion of a non-conventional non-conversational implicature, metaphorical utterances clearly involve non-conventional implicatures.

Also missing from Grice's categorisation of implicatures, and from developments of his work, is the issue of literary symbols. I attribute this omission to two fallacies. The first is that since symbols are a type of metaphor, they must exhibit the same type of implicatures. While symbolic

and metaphoric connections between two entities are vastly similar, ways in which the connections are communicated can be quite different (as discussed in earlier chapters). The second fallacy is that implicatures are only analyzable at the level of utterances, as opposed to texts. Often a literary symbol is not revealed at utterance-level, but at text-level, where an entire text may be the source of the implication of a symbolic relation between entities. (This point could also apply to metaphors which emerge from the text as an entire structure.

Inferences

Brown and Yule (1983) introduced inferences through the notion of 'missing links', i.e. the missing information or 'bridging assumption' formed by the hearer when making an inference. 'Missing links' are described as belonging to one of two groups: automatic connections and non-automatic connections. Automatic connections emerge from uses of conventional implicatures and semantic presuppositions, as revealed by the example below (where 'c' is the missing link):

- a. I bought a bicycle yesterday.
- b. The frame is extra large.
- c. The bicycle has a frame. (Chafe, 1972)

Interestingly, many theorists (including Brown and Yule, 1983, and Sanford and Garrod, 1981) do not consider automatic connections, such as in this example, to involve inferencing.

Non-automatic connections emerge from uses of non-conventional implicatures, as in the example below (where 'c' refers to the missing link):

- a. Mary got some picnic supplies out of the car.
 - b. The beer was warm.
 - c. The picnic supplies mentioned included some beer.
- (Haviland and Clark, 1974)

In this investigation, both types of connections are treated as inferences. Instead of a taxonomic approach, I use an extended definition of inferencing per se.

In an extended definition, inferences can be described as two-step procedures: hypothesis formulation and hypothesis confirmation (as discussed by Warren et al. , 1979 and Sperber and Wilson, 1986). Prior to describing the two steps of inferencing, the order of the steps is worth consideration. Sperber and Wilson make the following comments:

... the task of constructing and selecting hypotheses may be carried out in different ways. In some cases, it is best carried out by listing all possible hypotheses, comparing them, and choosing the best one. In others, it is best carried out by searching for an initial hypothesis, testing it to see if it meets some criterion, accepting it and stopping there if it does, and otherwise repeating the process by searching for a second hypothesis, and so on. (p.165)

Sperber and Wilson argue against the first method for interpreting figurative language because there are innumerable possibilities of meanings in the construction of such hypotheses. Given the likelihood that readers process economi-

cally for understanding, all of the possible hypotheses are probably not exhausted⁴.

Given this basic consideration, the two steps of inferencing can be described within the parameters of this study. In this investigation, 'hypothesis' refers to an hypothesised or surmised meaning which a reader assigns to a metaphorical (or symbolic) utterance. The way in which hypothesis formulation and hypothesis confirmation are carried out for the interpretation of literary metaphors involves steps within these two general steps. For this more specific description, I employ Eco's schema.

8.2.0. Inferencing Procedures for Literary Metaphors and Symbols

This section describes Eco's inferencing schema for the interpretation of literary metaphors and symbols; however, this is restricted to exclude symbols which are derived from previous symbols (i.e. through intertextuality). This exclusion of this one type of symbol is based on the postulate that interpreting symbols which derive from previous symbols involves decoding and not inferencing (as pointed out in Todorov, 1977 and Eco, 1984)⁵.

As an introduction, below I shall briefly describe Eco's five rules for interpretation of metaphors. This will be followed by a description of types of inferencing involved

in carrying out these five rules. These two preliminary discussions will give the background necessary for the discussion in 8.2.1., where's Eco's schema is elaborated as it is applied to the interpretation of a given metaphor.

Eco's Five Rules

Eco's first rule accounts for the first 'abductive attempt' by the reader. The reader chooses a 'tentative or partial componential representation' of the literal meanings (Eco uses the term 'vehicle' here) of terms of a given metaphor.

The second rule represents the second step of abductive operations. Here the reader looks for a 'plausible candidate' for the metaphorical meaning (tenor) which 'possibly shares some of the focused properties ' of the meanings determined in the first step.

The third rule is described as the grouping of 'shared properties and mutually different properties'.

In the fourth rule, the different properties and similar properties are merged and 'evaluated only according to the contextual success of the metaphor⁶.

And lastly, the fifth rule accounts for the possibility of multiple interpretations. 'Check whether, on the grounds of

the "abduced" metaphors, new relations can be implemented, so as to enrich further the cognitive power of the trope.'

Inferencing During Interpretation

The strength in Eco's work lies in his descriptions of inferencing within inferencing procedures. Inferencing employed in the first step, as 'abductive' operations, is distinguished from inferencing employed in the fourth step, as an 'evaluation' procedure.

Moreover, Eco's unusual use of 'abduce' is valuable for understanding inferencing procedures. The OED (1984 ed.) lists the verb 'abduct' as to 'carry off or kidnap (esp. woman or child) illegally by force or deception.' As this is obviously not the usage intended by Eco⁷, I will assume that he holds 'abduction' in contrast to 'deduction' and 'induction'; the term 'abduction' suggests moving away from a conclusion in order to understand its premises. This reflects a view espoused by Sperber and Wilson (1986), when they comment that comprehension is more of a 'retrieval strategy' from conclusions than a 'deductive reasoning' from premises (p. 92).

For clarification, 'deduction' and 'induction' are commonly contrasted as follows:

The study of necessarily valid inferences is pursued within deductive logic, while inferences that are valid with some degree of probability are studied within inductive logic. (Allwood et al., 1977:16)⁸

When a reader carries out a deduction or induction, a conclusion is reached by inferring from premises. Contrastively, in the case of abduction, a conclusion is given and the premises are inferred. When this notion is applied to metaphors the sentence-meaning, which is literally false, may be treated as the conclusion, and the utterance-meaning, i.e. the interaction between lexemes, may be treated as the premises. Thus, understanding the premises will result in an interpretation of the metaphor.

8.2.1. The Use of Eco's Schema

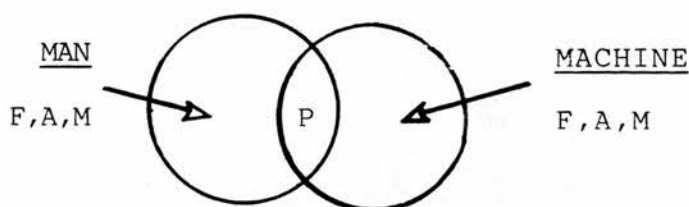
Eco's first three rules describe a search for properties which are assigned to terms of a metaphor in order to formulate hypotheses. He gives the following schema for the selection of properties (which was discussed in the previous chapter, but is repeated below for convenience):

/X/**C** F A M P, where X is a noun, F stands for the 'perceptual aspect of X', A for "who or what produces X", M for "what X is made of" and P for "what X is supposed to do or serve for".

Using the simple metaphor 'Man is Machine' for illustration, the FAMP properties of X would be as follows (again, repeated from the previous chapter):

F = Humanlike (for man), Metal construction
with wheels and engines (for machine)
A= God or micoparticles (man), Man (machine)
M= Flesh (man), Metal (machine)
P= Work and reproduce (man and machine)

After the initial assignment of properties to lexemes, comes the formulation of hypotheses in Eco's second, third and fourth rules. This begins with 'abductively' inferencing from the properties assigned to the lexemes in order to find shared properties (as in P, above) and the mutually different properties (as in F,A and M, above). Thus, Eco's diagram representing the inferencing process could be filled in as follows (where the letters F,A,M and P represent the properties specified above):



The reader would formulate the hypothesis that man is like machine in the way that he works (and reproduces).

While the shared properties most directly contribute to the interpretation of a metaphor, the mutually different properties play their role by remaining active (this is covered in Eco's third rule, and is also mentioned in other works on metaphor, including Davidson, 1979)⁹. For example, the different properties of 'man' and 'machine', such as man possessing a brain and machines not (taken from the F properties, above), could be used to add to the interpretation that man is controllable in the way machines are controlled by man. (Eco describes this role of mutually different properties as part of 'co-textual plausibility' to the shared properties

(in his fourth rule).)

Eco's fourth rule includes a description of step two of inferencing, in which an hypothesis is 'evaluated according to the co-textual success of the metaphor'. Eco's use of the term 'co-text' corresponds both to the mutually different properties of the lexemes, as mentioned above, and to what I have phrased 'context of the text itself', i.e. the content of a given text and intertextual references found in that text¹⁰.

Central to hypothesis confirmation is the role of relevance¹¹ in that an hypothesis is confirmed by the relevance of the hypothesis to contextual features. This role of relevance is explained by Sperber and Wilson when they note that an hypothesis is 'relevant in a context if and only if it has some contextual effect in that context', i.e. hypotheses are 'contextualized' (1986:122)¹².

In sum, Eco's schema adequately describes inferencing which occurs during the interpretation of literary metaphors, and to some extent, literary symbols (as specified earlier). The example metaphor used here (Man is Machine), however, is a simple metaphor, and Eco's schema does not apply itself as easily to more complex metaphors; this problem was mentioned in Chapter 7, where the FAMP properties of 'enhanced' (as used in "The Garden") were difficult to formulate. Neverthe-

less, the basic principle behind the use of FAMP or similar properties in an inferencing schema, and the specificity in which Eco describes inferencing provides an understanding of the inferencing process sufficient for this study.

8.3. Concluding Remarks on Inferencing Procedures

In this chapter inferencing has been defined using the related notion of implicature and by expanding a basic definition of inference to that which views inferencing as a two-step process. The two steps, hypothesis formulation and hypothesis confirmation, were then described in more detail using Eco's inferencing schema for the interpretation of literary metaphors.

This description of inferencing, along with determining context (as discussed in Chapter 6) and determining linguistic content (in Chapter 7) will be applied to the analyses of subjects' responses in the following chapters.

PART III

SUBJECTS' RESPONSES

This part of the thesis contains two chapters which discuss subjects' written responses to poems used in this investigation. Chapter 9 discusses only selected responses from the pilot study which helped in the formulation of the hypotheses tested in the main experiment. Chapter 10 discusses that main experiment.

CHAPTER 9

Pilot Study: Selected Responses

9.0. Introduction

Although the pilot experiments were not exhaustive, they are valuable for teaching methodologies (discussed in full in Chapter 12) and for a preliminary analysis of EFL students' needs (which will be discussed here).

Specifically, this chapter looks at three portions of the pilot study which suggest needs of EFL students reading poetry written in English. The first portion involves students' use of the notion of deviation, employed here for the recognition of literary metaphors. The second portion taken from the pilot study involves students' understanding of the content of the text in terms of literal and metaphorical levels. The third portion pertains to students' use of intertextual referents in interpreting literary metaphors and symbols. The order of the three portions reflects their order in the pilot study.

Before discussing subjects' responses in these three portions of the pilot study, I introduce the overall methodology of these experiments. The pilot experiments used four groups of foreign students of English language and literature. The three experimental groups were taught comprehension skills

for the interpretation of literary metaphors and symbols using a pragmatic theoretical description (similar to that discussed in the previous chapters). The control group was not taught comprehension skills using a pragmatic approach; they were, however, enrolled in a literary studies programme like the subjects of Groups 1 and 3. This control group was brought in late in the experiment and provided responses for only one of the poems in the programme ("The Gateway" by Robert Graves). (For information about these subjects, consult the Subject Profile in Appendix C.)

9.1. Recognizing Literary Metaphors: Subjects' Responses

In this section I analyze subjects' responses to an exercise involving the recognition of possible metaphors. I shall first explain this portion of the experiment (including the directions given to subjects). This will be followed by a list of subjects' responses and an analysis of those responses.

After an explanation of how to recognize possible metaphors employing the maxim of Quality (similar to the description in Chapter 4), subjects put this approach into practice by the following activities. First, they were given a poem by Adrian Mitchell (in Appendix A, and repeated here for convenience):

24 Orders With (Optional) Adjectives

- 1 fetch my (happy) screwdriver
 smell those (sugary) goldfish

- shut that (amazing) door
touch my (scrawny) statues
5 close your (intricate) eyes
fill up the (Russian) hole again
tell your (gaping) sister
put that (shining) bomb together
spare my (murky) child
10 show your (grey) feelings
put up your (smiling) hand
hide your (iron) face
hand over those (solemn) emeralds
don't try to get (red-handed) funny with me
15 wash their (impertinent) car
cut its (sweet) throat
eat your (exclusive) cabbage
take down your (little) trousers
make up your (agile) mind
20 get down on your (frightening) knees
stick to your own (pathetic) kind
take the (stupid) tea
polish those (harmonious) boots

Second, subjects were asked to circle words or phrases which they believed violated the maxim of Quality (or, in other words, appeared deviant). Most of the subjects indicated that every line had an occurrence of deviation in its use of an adjective.

And third, subjects were given a worksheet in which the 'deviant' adjectives were omitted. This exercise was intended to reinforce the notion of deviation, and was used in a classroom discussion on the degrees of deviation. This worksheet appears in Appendix D, but also appears on the following page to facilitate this analysis.

WORKSHEET FOR "24 ORDERS WITH (OPTIONAL) ADJECTIVES"

1. After your first reading of this poem discuss your impressions with your partner. Consider how this poem is similar or dissimilar to other poems you have read.
2. Rewrite the text filling in the blanks with adjectives which would make each line follow the Cooperative Principle.

- 1 fetch my _____ screwdriver
smell those _____ goldfish
shut that _____ door
touch my _____ statues
 - 5 close your _____ eyes
fill up the _____ hole again
tell your _____ sister
put that _____ bomb together
spare my _____ child
 - 10 show your _____ feelings
put up your _____ hand
hide your _____ face
hand over those _____ emeralds
don't try to get _____ funny with me
 - 15 wash their _____ car
cut its _____ throat
eat your _____ cabbage
take down your _____ trousers
make up your _____ mind
 - 20 get down on your _____ knees
stick to your own _____ kind
take the _____ tea
polish those _____ boots
-

Subjects filled in the blanks with 'cooperative', or non-deviant, adjectives. Each line from the original poem is duplicated before the subjects' responses; these responses are indicated according to subject group (G1, G2 and G3 for Groups 1, 2 and 3, respectively (consult Subject Profile, Appendix C)). The responses which native English speakers are likely to treat as 'deviant' appear in CAPITAL LETTERS, and those responses which appeared elsewhere in the original

poem are underlined. These responses are arranged in each line in order of frequency.

1. fetch my (happy) screwdriver

- G1. red, little, iron, heavy, RED-HANDED
- G2. red, little, new, greasy, oily, smallest, small.
- G3. iron, new, rusty, black, big, RIGHT

2. smell those (sugary) goldfish

- G1. horrible, FRESH, stinking, GRILLED, rotten, good, big
- G2. dead, little, lively
- G3. FOULING, bright, pretty, lovely, putrid, old

3. shut that (amazing) door

- G1. open, wooden, iron, red, brown
- G2. open, wooden, creaky, corridor, banging, front, AJAR
- G3. open(ed), old, noisy, wooden

4. touch my (scrawny) statues

- G1. marble, beautiful, favourite, smooth, old, finest, marvellous
- G2. marble, iron, clay, mud, precious
- G3. marble, antique, SOLEMN

5. close your (intricate) eyes

- G1. sad, tired, bright, crying, beautiful, shining, IMPERTINENT
- G2. sad, tired, bright, crying, SMILING, blue, happy, brown
- G3. tired, beautiful, green, sleepy, IMPERTINENT

6. fill up the (Russian) hole again

- G1. empty, big, huge, useless, small, black
- G2. empty, big, deep, gaping, left, tiny
- G3. empty, black, little, dark

7. tell your (gaping) sister

- G1. little, younger, old, eldest, naughty
- G2. little, young, younger, youngest, older, beloved
- G3. little, nice, OPENED-MOUTHED, sweet

8. put that (shining) bomb together

- G1. awful, dangerous, nuclear, heavy, deadly, murderous, noisy
- G2. awful, dangerous, intricate, large, simple, hydrogen, diactivated, micro
- G3. atomic, big, dangerous, RED-HANDED, Russian

9. spare my (murky) child

- G1. dear, poor, only, sweet, spoilt, little
- G2. dear, poor, only, innocent, impertinent, youngest
- G3. poor, sad, stupid

10. show your (grey) feelings

- G1. own, real, happy, inner, better, intimate
- G2. own, real, happy, tender, true, good
- G3. true, own, gloomy, GREY

11. put up your (smiling) hand

- G1. left, right, GRACIOUS, dirty, GUILTY
- G2. right, left, small, scrawny, huge
- G3. dirty, left, FRIENDLY, scrawny

12. hide your (iron) face

- G1. ugly, funny, round, smiling, MALICIOUS
- G2. ugly, blushing, stupid, red, burnt, dirty, scarred
- G3. ugly, angry, hard, smiling

13. hand over those (solemn) emeralds

- G1. green, precious, rare, shiny, stolen, wonderful
- G2. bright, glittering, shining, valuable, small, big, worthless, fantastic, beautiful
- G3. precious, SOFT, shining, ASHAMED

14. don't try to get (red-handed) funny with me

- G1. STUPIDLY, INCREDIBLE, very, SILLY, annoyingly
- G2. STUPID, so, (most subjects left this blank)
- G3. TERRIBLY, BITTERLY, BAD, VERY-MUCH

15. wash their (impertinent) car

- G1. new, old, dirty, luxurious, amazing
- G2. new, old, brandnew, Italian, exclusive, muddy, blue
- G3. dirty, dusty, expensive, exclusive

16. cut its (sweet) throat

- G1. delicate, thich, RILL, white, ILL, slender, long, TERRIBLE, gentle
- G2. bare, sore, fat, swollen, YIELDING
- G3. swollen, thin, FALSE, bony

17. eat your (exclusive) cabbage

- G1. cooked, fresh, smelling, delicious, tasty, DAILY, dear
- G2. cooked, fresh, boiled, sweet, pickled, hot, cold, left-over
- G3. red, ripe, own, sugary

18. take down your (little) trousers

- G1. sport, tweed, leather, brown, LADDER, blue, worn, casual better, short
- G2. dirty, corduroy, tan, old, other, long, wet
- G3. dirty, short, cheap, ironed

19. make up your (agile) mind

- G1. own, narrow, confused, PROPER, stupid, ELEVATED
- G2. own, open, WAVERING, SOLEMN, brilliant, delirious, slow, witty
- G3. worried, suspicious, quick, INTRICATE, AGILE

20. get down on your (frightening) knees

- G1. weak, little, HURTING, fat, plump, bony, heavy
- G2. bended, knobbly, dirty, trembling
- G3. bony, scrawny, ugly, broken

21. stick to your own (pathetic) kind

- G1. exclusive, better, SOME, traditional, odd, DEFINITE, ordinary
- G2. stupid, worthless, selfish, bloody, literary
- G3. PATHETIC, sad

22. take the (stupid) tea

- G1. hot, sugary, Chinese, aromatic, Indian, green, fresh, GREY-EARLY
- G2. hot, sugary, Chinese, cold, sweetened
- G3. Chinese, cold, Indian, MONOTONOUS, murky

23. polish those (harmonious) boots

- G1. dirty, old, ski, dusty
- G2. dirty, brown, clean, black
- G3. dirty, old fashioned, old-nice, beautiful

Since subjects were instructed to produce non-deviant choices, I will examine their responses only with respect to deviation¹. Subjects responses have been divided into two types, non-deviant and deviant.

Non-Deviant Responses

Of the non-deviant responses, the vast majority created

likely collocations, which were more suited to the given noun than they would have been to other nouns; for example, "marble" statues and "cooked" cabbage. Such responses suggest that subjects were trying to show that they knew the meanings of the words. However, they also used adjectives which could have appropriately modified many nouns, such as "new" and "little". ("Little" was the most frequently occurring response, and it also occurred in the original poem.)

Deviant Responses

The deviant responses are divided into those which are completely deviant because they do not make sense in the context of the utterance, and those which are metaphorically plausible in the context of the utterance.

Before examining the deviant responses, I digress to discuss subjects' responses to line 14, which in the original poem was deviant apart from its use of the adjective "red-handed"; the line, 'don't try to get (red-handed) funny with me', is deviant because normally this expression would appear "don't try to get funny with me", where "funny", an adjective, singly modifies the understood "you" (as this is an imperative). In this case the use of any adjective is grammatically deviant; only an adverb, such as "very" ², "so" and "stupidly" could replace the "optional" adjective. It is not surprising that most of the subjects' responses were deviant (such as, "incredible" and "silly"). As this line is deviant if it uses

an adjective, it is excluded from the following analysis of deviant responses.

The completely deviant responses from Group 1 are listed below according to the line of the original poem:

1. red-handed screwdriver
2. fresh goldfish
grilled goldfish
16. rill throat
18. ladder trousers
19. proper mind
elevated mind
20. hurting knees
21. some kind
22. early-grey tea

For line 1, I assume that red-handed is a misspelling for red-handled (screwdriver), which would be a non-deviant response. The responses to line 2 suggest that the subjects did not know that a goldfish is a pet and not an edible delicacy. For line 16, the choice of "rill" is completely deviant, as rill can only be a noun denoting a small brook or stream. The deviant response of ladder (trousers), for line 18, is probably a misspelling (perhaps for "leather"). The deviant choices for line 19 of proper³ and elevated (mind) present unusual uses of these adjectives (though 'elevated mind' might be acceptable in other contexts). Hurting (knees) for line 20 is deviant due to the constraints of language use; while knees might hurt, one would not say 'hurting knees', but 'sore knees'. The response for line 21 of some (kind) would not be deviant in the context of colloquial expressions, such as 'that man is some kind of weirdo'; however, the response is deviant in the context

of the given utterance, 'stick to your own _____ kind'. Lastly, the deviant response, grey-early tea, is obviously a corruption of "Earl Grey tea".

Group 2 had only one completely deviant response: 3. ajar door. While a door can be described as being "ajar", the deviance results from grammar; ajar is normally in the predicate position, such as "the door was left ajar".

Group 3 gave five responses which could be judged as completely deviant:

- 2. fouling goldfish
- 7. opened-mouthed sister
- 8. red-handed bomb
- 13. soft emeralds
 ashamed emeralds
- 22. monotonous tea

The first two responses above are deviant with respect to their grammatical acceptability. As a verb, foul (or fouling) is restricted in its use whereby someone, or something (in this case a goldfish), causes something else to become foul. "Opened-mouthed" is grammatically unacceptable due to the '-ed' morpheme added to "open"; as "open-mouthed", though unusual, the response would be grammatically acceptable. The responses of "red-handed bomb" and "ashamed emeralds" are deviant in that both adjectives normally modify nouns for humans. Similarly, "monotonous tea" presents as awkward collocation as monotonous characteristically modifies nouns having to do with sound, tone or speaking. Lastly, "soft emeralds" is deviant by definition of emeralds as hard sub-

stances.

For the second classification of deviant responses, i.e. those which may be metaphorically plausible, Group 1's responses which could be interpreted metaphorically are as follows:

- 5. impertinent eyes
- 11. gracious hand
guilty hand
- 16. terrible throat
- 17. daily cabbage
- 21. definite kind

The choices of impertinent eyes, for line 5, gracious and guilty hand, for line 11, and terrible throat, for line 16, could all be interpreted as synecdoches where a part of the human anatomy is used to represent the whole person. It would not be deviant to describe a person as impertinent, gracious, guilty or terrible. Daily cabbage, for line 17, is likely to occur within a metaphorical hyperbole, where bread, from the expression "daily bread", is substituted or compared with cabbage. Lastly, definite kind, for line 21, borders on being completely deviant and metaphorically acceptable. One could say, "stick to your own definite kind", in the sense that definite represents a limitation.

Group 2 gave the following deviant responses which could be interpreted metaphorically:

- 5. smiling eyes
- 16. yielding throat
- 17. wavering mind
solemn mind

Like some of the responses given by Group 1, responses for

lines 5 and 16 could be interpreted as synecdoches, where again a part of the anatomy presents the whole person. One could describe a person as smiling or yielding. For the responses for line 17, however, even though the mind is a part of a person, it is more often used metaphorically to represent a person's thoughts; and thoughts can be described as wavering (metaphorically for changing or swaying) or as being solemn.

Group 3 provided deviant responses which could also be given metaphorical interpretations:

- 4. solemn statues
- 11. friendly hand
- 16. false throat
- 19. intricate mind

As with some of the metaphorically plausible responses given by subjects of Groups 1 and 2, the responses of "friendly hand", "false throat" and "intricate mind" may be treated as synecdoches involving the human body. The response of "solemn statues" is a likely personification, which may even be taken literally in some contexts since statues are usually of people.

Responses which are deviant, but metaphorically plausible, can be interpreted in two ways. In one way, the occurrence of these responses might question the use of the notion of deviation; these responses suggest that subjects wanted to retain the figurative language of the poem. Thus, deviation would be relative to the type of discourse, and in literary

discourse figurative language would not be truly deviant. Since this possibility disputes current deviation theory (as in Van Peer, 1986), it is an issue for the development of linguistic descriptions and will be left for further research (discussed in Chapter 14).

In the second way, responses which are deviant, but metaphorically plausible, might question subjects' abilities to distinguish literal uses from metaphorical, regardless of the literary context of the discourse. This point also emerged from an analysis of subjects' responses, when asked to describe the content of the text; this analysis will be presented in the next section.

In this section I have analysed subjects' responses to the poem "24 Orders With (Optional) Adjectives" when asked to provide non-deviant adjectives for the poem. These responses have been divided into two groups, non-deviant and deviant responses. The non-deviant responses have served primarily as contrasts to the deviant responses. The deviant responses, in particular those which are metaphorically plausible, contribute to one of the hypotheses tested in this investigation and moreover, suggest an area for further research.

9.2. Determining The Content of The Text: Subjects' Responses

In this section I discuss subjects' responses when asked

to express (in writing) what they would describe as the content of the text for the poem "Magic Children" (by Barbara Drake). Two slightly different versions of the theoretical approach explaining the content of the text (as a contextual category) were used with subjects, and will be described below.

"Magic Children" appears in Appendix A and for convenience is reproduced below:

Magic Children

- 1 My children, you grow so
You make me feel like a joke,
A tiny car a lot of clowns
Climb out of.
- 5 How you multiply,
From none to three.
Your father and I must be
An old vaudeville act,
And life is quicker than the eye.
- 10 Rabbits, red and yellow scarves,
Fountains of paper flowers
Spring from you.
In velvet curtains
- 15 Of your hair.
- Oh, my magic children -
You saw me in two,
Are my bed of nails,
The burning coals I walk through,
- 20 Proof against wounds.
- Loves, how shall I tell you
What I feel?
Like fans of cards,
Eternal and unreal,
- 25 We must all fold back
Into our own illusions.

Following a discussion of context (based on the theoretical

description in Chapter 6), subjects were given copies of "Magic Children" and a worksheet with blanks for contextual categories. Subjects of Groups 1 and 2 were instructed to first read the poem and then fill in an empty box labelled "Content of the Text" with their understandings of the overall poem. Their responses included the following:

Group 1

1. "Literally - children and magic shows.
Metaphorically - the feelings of the narrator towards her children."
2. "Literal was about magic and children.
Metaphorical about understanding the change in children and ageing"
3. "The text is about the feelings of a woman reflecting to her three children - the change in her life."
4. "The relation between a mother and her three children".
5. "The magic of childhood, its imagination and the illusion which (it) presents because time is flowing and will alternate the magic of childhood. The writer tries to remain in an innocent and magic world of childhood, but is nostalgic because she knows it is not possible."

Group 2

6. "Life in general - alternation of generations and death, magic and absurd character of life."
7. "Sentence level - bringing up children.
Utterance level - general statement on parenthood."
8. "The magic show reminds her of her children."
9. "The narrator thinks that having children is a hard job."
10. "Sentence level - children growing up. The children produce paper flowers, paper flowers emerge from the children respectively. The children gave pain to the narrator (probably when she gave birth to them)."

11. "Poem deals with the narrator's relationship to magic children. These children seem to have human attributes. They wear red and yellow scarves, they grow and they have hair. The children are however addressed as rabbits and they are associated in a way with the narrator which I don't expect in a description of children."
12. "It's about her children accompanying her with her husband to a vaudeville act in an extended metaphor. Her children are the results of magic tricks performed by an act in the vaudeville show. It's also about Canada and the Children of Canada."⁴

As is evident from these responses, subjects did not always distinguish the metaphorical level from its literal manifestation. The children in the poem were confused with their metaphorical representations of the magic show. They were referred to by one subject, in 11 above, as magic children in a literal sense, and not that they were 'like' magic. This is also seen in 10, where the children supposedly perform the magician's routine by producing paper flowers. And similarly, in 6, elements of a likely metaphorical interpretation are blended with elements of a likely literal interpretation.

Other responses for "Magic Children" (listed above) failed to define the literal level of the poem, such as responses 3 and 7 which do not refer to the magic show as the literal level. However, this does not necessarily indicate that these subjects did not recognize the analogy, for it would be difficult to arrive at a metaphorical interpretation without recognizing that the literal level is not to be

taken literally.

Realizing that subjects' difficulties in distinguishing literal and metaphorical levels of the content of the text could have resulted from the lack of detail on their worksheets , I gave subjects of Group 3 a worksheet with a slightly more detailed account of the content of the text than I had for Groups 1 and 2. In this new version, subjects described the content of the text of "Magic Children" by filling in a box like the one below:

<u>SETTINGS:</u> Literal -	<u>HAPPENINGS:</u> Literal -
Metaphorical -	Metaphorical -

The subjects' responses included the following:

Group 3

Settings

13. Literal - "A magic show "
Metaphorical - "Her Mind"
14. Literal - "A magic show or circus"
Metaphorical - "The sight of life in parents' eyes"
15. Literal - "A magic show"
Metaphorical - "Life itself"
16. Literal - "Like a dream, a picture"
Metaphorical - "It's the representation of life"
17. Literal - "There are children, a circus and a magic show"

Metaphorical - "The children are a part of herself, they are causing problems; life is represented "

18. Literal - "A magic show, circus"

Metaphorical - "Dream or memory"

Happenings

19. Literal - "A magic show"

Metaphorical - "The feelings of being a mother, seeing them grow quick, also making her feel old"

20. Literal - "The magic show is going on"

Metaphorical - "The children are growing. The mother thinks that they have cost her many pains but she still loves them"

21. Literal - "The life of the children through the eyes of their mother"

Metaphorical - "The quick growth of children"

22. Literal - "They (the children) are growing up quickly"

Metaphorical - "The author is changed by life, becomes stronger"

23. Literal - "Mother's love for her children and all she has suffered"

Metaphorical - "??"

24. Literal and Metaphorical (indicated by subject as one and the same) - "children grow up, joys and pains of mother"

Unlike the responses given by subjects of Groups 1 and 2, on the whole, those from Group 3 do not reveal that the subjects confused the references to the children with the magic show analogy (as did the subjects in Group 2, in responses 10, 11 and 13, and to a lesser extent from Group 1 in 5 and 8).

The literal/metaphorical distinction on the second version of the worksheet may have aided in drawing subjects' atten-

tion to the literal content as distinct from the metaphorical.

Allowing for the general and unclear phrases (perhaps accountable by subjects' linguistic weaknesses in English), responses 13 through 20 show distinctions between literal and metaphorical levels. Responses 21 through 24, however, focus on that part of the literal level which lends itself to the metaphorical level, as opposed to the literal level about the magic show analogy. In addition, response 23 does not describe the metaphorical level.

Given that subjects from all three groups were taught the concept of literal and metaphorical distinctions in poetry⁵, the responses discussed in this section suggest that this concept still posed some difficulty for the subjects. This suggestion also follows from the results discussed in the previous section, which, to some extent, also revealed subjects' difficulties in distinguishing literal and metaphorical (or in that case, deviant) uses. As preliminary studies, these findings are inconclusive in themselves, yet they can be used to construct the following hypothesis:

Hypothesis: Non-native English speakers are less likely than native English speakers to comprehend the distinction between literal and metaphorical levels of the content of a poetic text written in English.

This hypothesis will be tested with the results from my main experiment in Chapter 10.

9.3. The Use of Intertextual Referents: Subjects' Responses

In this section I will discuss a part of the pilot study which examined subjects' use of intertextual referents in their interpretations of literary metaphors and symbols. In addition to using Groups 1, 2 and 3, I used another group of EFL students (Group 4). As mentioned earlier, this group differed from the others in that as a class, they had not previously discussed intertextuality, nor had they received any theoretical input (such as that discussed in Part 2 of this study).

This part of the pilot study took place during the final teaching session (for Groups 1, 2 and 3). Subjects were given "The Gateway" by Robert Graves; this poem is repeated below for convenience:

The Gateway

- 1 After three years of constant courtship
Each owes the other more than can be paid
Short of a single bankruptcy.
- 5 At the gateway of the garden; each advances
One foot across it, hating to forgo
The pangs of womanhood and manhood;
Both turn about, breathing love's honest name,
Too strictly tied by bonds of miracle
- 10 And lasting magic to be easily lured
Into acceptance of concubinage:
Its deep defraudment of their regal selves.

Despite the theoretical input, which included the notion of intertextuality, responses from Groups 1, 2 and 3 show little use of intertextual referents. These responses in-

clude the following (listed according to lines in the poem):

Each owes the other more than can be paid
Short of a single bankruptcy.

G1

1. "Failure"

2. "Affection seen as a quantity with a price"

G2

3. "Extended metaphor, associating their sentimental bonds with financial matters, debts that can't be repaid"

4. "Moral bankruptcy implies a lost of innocence"

G3

5. "There is no way of repaying what three years of love have given"

6. "Love is sometimes like business"

Both falter at the gateway...

G1

7. "Gateway = border"

8. "Gateway = obstacles"

9. "The step from innocence to knowledge"

G2

10. "Gateway = marriage"

G3

11. "The entrance to a new space"

... the garden

12. "New life. Order"

13. "Security, marriage"

14. "Death"

G2

15. "The Garden of Eden"

16. "Experience, physical love and corruption"

G3

17. "Love, married life"

18. "Paradise"

...forgo the pangs of womanhood and manhood...

G2

19. "Pangs is a metaphor for responsibility"

20. "Pangs refers to moral doubts"

21. "Sexuality"

... breathing love's honest name...

G2

22. "Persuading that marriage is the only solution"

... bonds of miracle and lasting magic.

G3

23. "Love is a farce that cannot be controlled by one's senses"

24. "Allusion to Mary and Joseph and the miracle birth of Jesus"

Its deep defraudment of their regal selves.

G2

- 25. "Their regal selves is their high moral opinion they have of themselves"
- 26. "Not acting like the others, defraudment of God."
- 27. "They lied to each other"

Only two of these responses from Groups 1, 2 and 3 indisputably use intertextual referents; response 15 refers to the Garden of Eden and response 24 refers to the story of Jesus⁶. Some of the other responses above could also be treated as using intertextual referents; for example, response 18 interprets the "garden" as 'paradise', which could refer to the Garden of Eden. This same intertextual referent could also be linked with responses 9, 12 and 16.

Responses from Group 4, who did not discuss intertextuality (or other theoretical notions to assist comprehension), did not use intertextual referents in any of their responses. Group 4's responses to "The Gateway" included the following:

...courtship...

- 28. "Symbolic of love"

...the gateway of the garden...

- 30. "Is the frontier in couple's relationship"
- 31. "The beginning of love with sexual relationship"

Each owes the other more than can be paid
Short of a single bankruptcy.

- 32. "Get lost in what way to express love"
- 33. "Not to succeed in friendship, in love"
- 34. "They were very close to each other... a very rich and full love"

...defraudment of their regal selves.

- 35. "It's not easy between decent people to expect to live together in a 'free love'"

The absence of intertextual referents in Group 4's responses and in most of the other groups' responses suggests that subjects required information about intertextuality. Like the findings in the previous section, these findings are only preliminary, yet serve in the construction of an hypothesis. For this section, the resulting hypothesis is as follows:

Hypothesis: Non-native English speakers are less likely than native English speakers to use intertextual referents in producing interpretations of literary metaphors and symbols found in poems written in English.

This hypothesis will be tested in the following chapter.

9.4. Concluding Remarks on Pilot Subjects' Responses

In this chapter I have discussed three portions of the pilot study which have contributed to two hypotheses of the needs of EFL students reading poetry written in English. These hypotheses are tested in the main experiment of this investigation (discussed in the following chapter). The first portion of the pilot study discussed here (involving subjects' responses to deviation) also raises questions of current deviation theory; this issue will be suggested for further research (in Chapter 13).

CHAPTER 10

Main Experiment: Needs Analysis

10.0. Introduction

This chapter covers the main experiment of this investigation. As a needs analysis of Japanese EFL students, this experiment tests two hypotheses formulated from the pilot study (discussed in the previous chapter). As a reminder, these hypotheses are as follows:

Hypothesis 1: Non-native English speakers are less likely than native English speakers to use inter-textual referents in producing interpretations of literary metaphors and symbols found in poems written in English.

Hypothesis 2: Non-native English speakers are less likely than native English speakers to comprehend the distinction between literal and metaphorical levels of the content of a poetic text written in English.

These two hypotheses will be tested (in sections 10.2 and 10.3) with respect to subjects' responses to "The Garden". In order that the results of this experiment be placed in their proper perspective, in section 10.4 subjects' test scores (of their responses to the entire poem) will be compared with their overall language proficiency scores (taken from their Michigan test scores¹).

Prior to discussions of subjects' responses and overall test scores, I shall explain the methodology employed for this part of the investigation.

10.1 Methodology

For this section I shall first discuss the subjects used in this experiment, and second, the administration of the test containing "The Garden".

This experiment consisted of two groups of subjects, one experimental and one control. The experimental group was made of twelve Japanese students of English language and literature ranging in ages nineteen to twenty two . They were all first year university students enrolled in an EFL programme at Boston University. Although their backgrounds varied (studying in fields such as Business Administration, Engineering and the humanities), they were attending a self-chosen literature course. The control group was also made of twelve first year university students between ages nineteen and twenty two who were at Boston University. Like the experimental group, these subjects were studying in a variety of fields (such as the above mentioned), but were attending a general English course (which covered writing and the reading of essays and short stories, with optional readings in poetry).

The test given to subjects contained instructions, the poem "The Garden" and a chart for subjects' responses. Their instructions were as follows:

Read the poem below. Circle any words of which you do not know the literal (denotative) meanings. Then reread the poem, filling in the chart below with

all of the metaphors and symbols you can find in the poem. In the left column, write the metaphors and symbols as they appear in the poem, and in the right column, write your interpretation of each metaphor or symbol.

Please write clearly. You will have 20 minutes to read the poem and fill in the chart.

Subjects were also verbally given instructions that they were to fill in the chart with all of the words or phrases that they thought were metaphorical or symbolic even if they could not provide an interpretation. This chart appeared below the poem as follows (only the first few blank lines are printed here for economy, while on the actual test, fifteen lines appeared):

CHART	
Metaphors/Symbols	Interpretations

10.2 Hypothesis 1: Discussion of Responses

This section covers subjects' responses, which revealed uses of intertextual referents. None of the twelve experimental subjects used intertextual referents in their responses. Of the twelve control subjects, eight used intertextual referents in their responses. These control group responses are as follows:

The garden

1. "Garden of Eden, her" (in 5 subjects' responses)
2. "Salvadore Dali's garden, surrealism of a women in love using objects in a garden as personification" (1)

3. "Gothic symbol of romance" (2)
4. "Medieval symbol for romance, love etc." (1)

Blossoms as apple-tree

5. "Different symbols - pastoral reference" (1)
6. "Tree of Life - ready to become pregnant" (1)
7. "Tree of Life - from Bible" (3)

Three control subjects who did not use intertextual referents in any of their interpretations viewed the "garden" as a symbol for "her" and "sexuality". The other control subject not to use intertextual referents interpreted the entire poem as describing a dream. (See Appendix E)

While the absence of intertextual referents in the EFL (experimental) students' responses indicates that they did not employ intertextuality in confirming their final hypothesis, it does not exclude the possibility that subjects might have used intertextuality at some point during the interpretation process (i.e. during hypothesis formulation). Given this consideration, possible explanations for the absence of intertextual referents in EFL students' responses can be discussed.

Since intertextual references appear in Japanese poetry (which is studied in Japan's high schools)², it would seem that the reading of poetry in a foreign language (in this case, English) was treated differently by these students from reading poetry in their native language. From this perspective, I offer two possible explanations. Firstly, it is likely that the students regarded the interpretation of this

poem as more of a linguistic exercise than a literary exercise. This explanation rests on the fact that these students were in a language learning environment. Moreover, they were aware of this fact as they did not know the denotative or literal meanings of all the words in the poem (indicated by the words they circled). This suggests that the subjects were not searching for intertextual references in the first place.

Secondly, the absence of intertextual referents in students' responses could have resulted from their misunderstanding of the literal/metaphorical distinction. For example, subjects might not have seen the need to interpret the "garden" and its components (such as an apple tree, well etc.) beyond their literal and denotative meanings. This point is the basis of Hypothesis 2 of this investigation, and will be discussed in the next section.

10.3. Hypothesis 2: Discussion of Responses

Here I will examine subjects' responses as indications of literal/metaphorical distinctions of the poem (as described in section 6.2. , on the content of the text). None of the twelve control subjects interpreted the poem as having only a literal level of a beautiful woman asleep in a tower of a garden, calling "him" to the garden. Nine of the twelve experimental subjects gave at least one response (in their

individual group of responses) that distinguished literal from metaphorical meanings. However, looking at the content of the poem as a whole, with a coherent literal level and one or more independently coherent metaphorical levels, the experimental subjects performed rather poorly. Only four of the experimental subjects gave two or more responses indicating an extended metaphor (independently coherent metaphorical level). In contrast, all twelve of the control subjects gave two or more responses indicating an extended metaphor.

Given this overview of subjects' responses with respect to literal/metaphorical distinctions of the content of the poem, below I will describe the responses in more detail.

Seven of the control subjects interpreted 'the garden' and its parts (such as 'apple-tree' and 'well') as personifications of 'her'. Three of these subjects also treated the 'garden' as the Garden of Eden; in two of the three cases, these two metaphorical levels were blended, as in the following example:

garden
 "Garden of Eden"
apple-tree
 "Tree of Life - Bible"
Thickets of her hair...
 "she has become synonymous with the garden - place
 of eternity"
Asleep/dream
 "an unreal world (God- Christianity)"

Two of these control subjects to interpret 'the garden' as

a personification of 'her' also treated the poem as having another metaphorical level of a "dream" (bearing in mind that the literal level also suggests this idea). (See subject C5's responses in Appendix E.)

Three of the remaining control subjects interpreted the poem's metaphorical level as only having to do with the Garden of Eden, such as in this example:

garden
 "Eden"
apple-tree
 "Tree of Life"
she (the woman referred to in the poem)
 "about man's weakness (seduction) making him mortal"

The remaining two control subjects interpreted the metaphorical level of the poem as describing "romance", as in the example below:

tower
 "Medieval symbol for romance"
the twin buds of her breasts...
 "she has beautiful alluring breasts"
fingers leafed
 "she is very aroused"
garden
 "world of romantic things"

The other control subject to treat this as a poem about "romance" also saw another metaphorical level, in which the 'apple-tree' and 'well' represented "pastoral references" (see subject C3's responses in Appendix E).

Of the experimental group subjects who gave at least two responses indicating an extended metaphor, three interpreted the metaphorical level of 'the garden' as the woman, with

the parts of the literal garden as parts of her body (as did seven of the control subjects, as pointed out earlier)³.

Below is an example of one of these subjects' responses:

garden
 "she"
trees
 "arms, legs"
breasts
 "flowers"
thickets
 "hair"

The other experimental group subject to recognize a metaphorical level of the poem interpreted 'the garden' as a dream (as did two of the control subjects), and gave these responses:

fingers leafed
 (listed, but no response given)
garden
 "a place where they are together - in a dream"
calling him
 "not really calling - she is asleep"
horde of birds
 "dream fairies"

One of the other experimental group subjects gave responses that were to some extent consistent with one metaphorical level, yet their sense calls to question whether the subject actually understood the literal/metaphorical distinction of the poem. This subjects' responses were as follows:

tower
 "tree"
breasts
 (listed - no response)
fingers
 "branch"
horde
 (no response)
hair
 (no response)
thicket
 "branch"

From the responses examined in this section, Hypothesis 2 tests as true: non-native English speakers are less likely than native English speakers to comprehend the distinction between literal and metaphorical levels of a poem written in English. However, in this experiment this point has not been proven with dramatic results; as stated earlier, four of the twelve experimental subjects gave responses indicating that they recognized the literal and metaphorical levels of the poem, and an additional five subjects recognized literal and metaphorical distinctions in one of the metaphors of the poem.

Nevertheless, treating this hypothesis as true, I offer four explanations for the discrepancies between native and non-native English speaker responses.

Firstly, in the case of "The Garden", most of the poem is literally true, i.e. it does not contain strongly deviant uses. Thus, the experimental subjects could have sought to interpret the literal level only.

Secondly, since one of the metaphorical levels of the poem, where the poem is about a 'dream', overlaps with the literal level, this particular metaphorical level may not have been treated as truly metaphorical. Moreover, this overlapping of literal and metaphorical levels may have also caused some confusion for subjects (as was noted more obviously

in the case of pilot subjects' responses to "Magic Children" discussed in Chapter 9).

Thirdly, subjects' reluctance to use intertextuality (as discussed earlier) could have prohibited them from understanding some of the metaphorical levels of the poem, such as the garden representing the Garden of Eden.

And fourthly, given that nine of the twelve experimental subjects interpreted at least one of the metaphors within the poem, it is evident that they were capable of recognizing a literal/metaphorical distinction, but only at an utterance level and not a text level (i.e. the entire poem as a text). This suggests that the notion of an extended metaphor needs to be learned.

10.4. Overall Results of the Experiment

In this section, I shall compare experimental subjects and control subjects poem test scores. And I will discuss the experimental subjects' poem test scores with respect to the number of vocabulary items they circled (as not having understood) and to their language proficiency, reading and vocabulary scores (from their Michigan Proficiency Tests scores).

For the poem test, subjects' raw scores have been calculated by simply assigning one point to every metaphor or symbol they listed as having recognized, and an additional point

for every metaphor or symbol for which they provided an interpretation; if they gave multiple interpretations, one point was given for each interpretation. In keeping with the subjective nature of literary discourse, almost all of the interpretations were treated as 'plausible'; the only exceptions to this were in cases where subjects gave some completely nonsensical responses (see experimental subjects 7 and 10's responses in Appendix E). The table below shows experimental and control subjects' poem test scores:

POEM TEST SCORES							
Experimental Group				Control Group			
S	Recogn.	Interp.	Total	S	Recogn.	Interp.	Total
1	2	1	3	C1	6	6	12
2	3	3	6	C2	4	5	9
3	5	1	6	C3	6	6	12
4	6	6	12	C4	8	10	18
5	2	0	2	C5	7	8	15
6	6	3	9	C6	3	3	6
7	7	2	9	C7	4	4	8
8	4	2	6	C8	5	5	10
9	3	3	6	C9	7	8	15
10	2	0	2	C10	4	5	9
11	4	4	8	C11	3	3	6
12	3	2	5	C12	5	6	11
Totals	47	27	74		62	69	131
Mean	3.92	2.25	6.17		5.17	5.75	10.92
s.d.	1.66	1.64	2.88		1.52	2.00	3.55

From these scores we can see that not only did native English speakers score better overall, as would be expected, but they also gave multiple interpretations for a single metaphor or symbol, whereas non-native English speakers did not. (This point will be taken up in the pedagogical implications discussed in Chapter 12.)

Given that native English speakers performed better than non-native speakers in interpreting the sample poem, the issue of English language competence arises. Specifically, the effects English language competence has on the non-native English speakers' comprehension of the poem needs to be examined. To this end, the table below shows the experimental group's poem vocabulary scores, the results of their Michigan test scores and their poem test scores (repeated from the table above). For their poem vocabulary scores, I have subtracted the number of vocabulary items which these subjects circled as not having understood from a perfect score of 30 (i.e. the total of words in the poem excluding prepositions, articles and connectives).

S	<u>EXPERIMENTAL GROUP SCORES</u>						
	<u>Poem</u>		<u>Listen.</u>	<u>Michigan Test Scores</u>			<u>Total</u>
	<u>Total</u>	<u>Voc.</u> (30)		<u>Grammar</u> (30)	<u>Voc.</u> (30)	<u>Read.</u> (20)	
1	3	22	14	30	28	19	91
2	6	20	20	28	28	19	95
3	6	26	16	30	29	16	91
4	12	27	14	24	22	17	77
5	2	27	16	27	20	18	81
6	9	25	10	24	24	13	71
7	9	29	16	25	21	11	73
8	6	24	13	23	22	10	68
9	6	24	13	25	21	15	74
10	2	24	15	27	26	18	86
11	8	27	13	24	21	16	74
12	5	26	14	28	26	14	82
Total	74	306	174	315	288	186	963
Mean	6.17	25.5	14.5	26.25	24	15.5	80.25
s.d.	2.88	1.80	2.33	2.31	3.11	2.87	8.48

Using this table, I point out two important correlations. The first is that subjects' poem test scores were generally higher if they understood more of the vocabulary items in the poem. The second important correlation is between subjects' total Michigan test scores and their poem test scores. This has produced a negative correlation, i.e. generally, the higher the subject's total Michigan score, the lower their poem score. (This negative correlation also applies to the vocabulary and reading scores from the Michigan test, if treated separately, and the subjects' poem test scores.)

These two correlations suggest that the linguistic difficulty of "The Garden" may have affected subjects' abilities to interpret the poem. However, the link between linguistic competence and the ability to interpret poems written in English is less clear. The negative correlation noted above disagrees with the reasonable assumption that native English speakers scored higher than non-native English speakers on the poem test in part because of English language ability. The negative correlation may be explained by the fact that the Michigan test does not test students' language ability in the context of literary language (prose or poetry).

10.5. Concluding Remarks on the Main Experiment

In this chapter, I have discussed subjects' responses with respect to Hypotheses 1 and 2 of the main experiment. In both cases, the hypotheses tested as true, although less dramatically in the case of Hypothesis 2 (involving literal and metaphorical distinctions of a poem). Nevertheless, this analysis has suggested needs required by non-native English speakers when reading poetry written in English. The pedagogical implications to emerge from this analysis will be discussed in Chapter 12.

In this chapter I have also discussed subjects' overall test scores, showing not only that the control group performed better, but also showing that the linguistic difficulty of this poem needs to be taken into account when considering the results of this experiment.

PART IV
PEDAGOGICAL IMPLICATIONS
AND CONCLUSIONS

This last part of the thesis contains three chapters. The first is a brief review of literature concerning teaching poetry in an EFL setting. The second chapter presents pedagogical implications of the pilot study and the main experiment. And the third chapter of this part concludes this thesis with a summary of the main points and suggestions for further research.

CHAPTER 11

Review of Literature: Teaching Poetry in an EFL Setting

11.0. Introduction

Although it is more desirable to discuss the teaching of literary metaphors and symbols in an EFL setting, given the lack of empirical research on this specific teaching area (as pointed out in Low, 1988), this chapter primarily addresses current approaches in the wider domain of the teaching of poetry in an EFL setting.

Underlying such approaches are two basic assumptions. The first is that the teacher's use of translation and paraphrase to assist the EFL learner, 'has the effect of misrepresenting the nature of literature' (Widdowson, 1975:81), and is, therefore, unsuitable in an EFL environment. The second assumption is that 'awareness of structure and style must be built into the reading competencies of the learners if the reading of literature is to carry its limitless value...' (Wall Thonis, 1970:97); the extent of stylistic awareness, however, varies among the approaches to be discussed.

In section 11.1. I will discuss the role of literary stylistics in the teaching of poetry to EFL students. In section 11.2. I shall describe three teaching methodologies.

The first involves Widdowson's 'pedagogic principles', as outlined in his influential Stylistics and the Teaching of Literature (1975). This section will continue with a discussion of Holst's language-based approach (1980), which develops Widdowson's methodology, but with a greater EFL emphasis. And finally, section 11.2. describes aspects pertinent to literary metaphors found in Low's approach to teaching metaphors (of a wide ranging variety) to EFL students.

11.1. Stylistics and the Teaching of Poetry

The use of literary stylistics in teaching poetry to non-native English speakers has been widely advocated as a means of assisting learners in comprehension (as recently found in Short and VanPeer, 1989 and Carter 1989). This section will look at current views of the extent stylistic analysis should be used in the teaching of poetry.

Holst (1980:9) employs stylistics as a tool used primarily by the teacher and secondarily by the students. Holst sees stylistics' more active role in pre-classroom teacher preparation; the teacher would use stylistic knowledge in order to formulate the appropriate questions to ask of students. The role of stylistics for students, on the other hand, is limited. Holst prescribes that students develop only linguistic awareness of the varieties of English by comparing

literary with conventional uses.

Also, in favour of comparative style techniques in teaching, Davies (1985:16) claims that in an EFL classroom, 'what is needed is explicit discussions of styles of various texts, leading students to recognise and appreciate the significance of the variations observed'. Compared to Holst, Davies suggests a more active role for stylistics when he proposes a 'practical course , which is built around the examination of well-chosen examples' and draws on 'insights provided by pragmatics and sociolinguistics as well as stylistics' (ibid)¹. Unfortunately, Davies does not explain the specific roles of pragmatics and sociolinguistics in his methodology.

A slightly different methodology comes from Gajdusek, whose goal it is to have students 'discover' the significance of the use of stylistic device. Gajdusek highlights the way in which style is related to meaning. She stresses the role of the teacher in reaching this goal, 'the teacher must be the one to focus attention on significant images or suggest the pattern to be discovered...' (p.250).

From this brief review of the role of stylistics in an EFL classroom, it emerges that the teacher needs to relate stylistic notions in order to teach students linguistic awareness, which could assist their comprehension of poetry

written in English. The works mentioned here set up the main goals for a syllabus design of a poetry course for EFL students. These views support a blend of example texts, stylistic input and some sort of classroom exercises. In the syllabus design used in the pilot study these three features are employed.

11.2.1. Widdowson's Pedagogic Principles

Widdowson outlines two basic principles intended to be followed by the literature teacher.

Firstly, Widdowson points out that , 'the study of literature is primarily a study of language use', and that it is an aspect of language learning (pp.83-84). This principle is crucial in support of the argument that a language-based approach to literature, as opposed to a "literature as art" approach, is paramount in an EFL setting. This principle, moreover, focuses on the concept of a literary text as discourse analogous to conversational discourse with respect to communicative function.

Widdowson's second principle states that 'the study of literature is an overtly comparative one'. By comparing literary discourse with 'conventional uses of language' (a phrase used by Widdowson), the differences in the language system can be realized for communicative purposes

(p.83). A comparative procedure develops two kinds of abilities in the learner. One ability is that of recognizing 'the manner in which the signification of linguistic elements is modified by context and thereby to acquire a strategy for ascertaining their value in actual use' (ibid). The other ability is that of realizing 'the way messages are communicated in conventional discourse' as a result of the comparison between figurative and conventional language.

11.2.2. Holst's Methodology

Holst (1980) follows Widdowson (1975) in two respects. Firstly, Holst's approach has a comparative base whereby teachers guide students 'to a realisation of the way in which poetry English is used to express messages that are unique and beyond the expressive scope of the conventional language code' (p.3). Secondly, Holst follows Widdowson by approaching literature not as text, but as discourse, which emphasizes the communicative function of poetry.

With these two notions as the backdrop, Holst gives a methodological framework of 'how to tackle a poem' (pp. 20-21). Her two main steps tell the reader to: 1) 'Consider the poem as a whole first'; and 2) 'Consider the patterns apparent at different levels of the poem'. This first step implements the commonly held theoretical notion that the entire text itself provides context for parts of the text

(such as was described in Chapter 6 of this thesis).

The second step involves an awareness of grammatical, lexical, phonological and ~~graph~~ological features, taking metaphors into account under 'lexical features'. In addition, this step has a final phase, what Holst calls 'general considerations'; this covers the communicative impact of the poem and the imagery created by interpretation of the many layers of meaning.

Holst's framework reflects, to some extent, the theoretical premises discussed in Part 2 of this thesis. Holst's approach, however, is rather sketchy and does not offer details required to 'tackle' literary metaphors specifically.

11.2.3. Low's Approach to Teaching Metaphor

Although primarily focused on non-literary metaphors², Low's thesis on teaching metaphor is aimed specifically at metaphors and the EFL classroom. Low outlines the skills required of EFL learners in terms of the characteristics of metaphors which need to be learned. Here, I shall discuss those characteristics relevant to this study.

The first characteristic is that metaphors are often extended; the images evoked by the initial metaphor are embellished in the form of other metaphors appearing later

in the poem. The second characteristic is the potential for multiple meanings tenable by a single metaphor. These first two characteristics have been discussed in the theory portion of this thesis. Moreover, the first characteristic is reflected in Hypothesis 2 of this investigation (involving subjects' understanding of literal and metaphorical levels of a poem). And the second characteristic is pertinent to the results of my main experiment, where native English speakers gave multiple interpretations and non-native English speakers did not.

11.3. Concluding Remarks on Review of Literature for Teaching Poetry in an EFL Setting

In this chapter, I have looked at current views on the role of literary stylistics in the EFL classroom and at three approaches to the teaching of poetry to EFL students. I have shown that the use of literary stylistics is regarded as necessary to teaching poetry in an EFL setting, but that the extent of its use is debatable. In this investigation, literary stylistics was employed throughout the pilot study by being taught to students in order to assist them in comprehension.

Of the three approaches discussed in the second section of this chapter, Low's approach is most directly reflected in this investigation, as both Low's approach and this study involve metaphors specifically. Holst's methodology includes

directions to readers which were used with subjects of the pilot study. And the comparative aspects of Widdowson and Holst's approaches will be taken into account in the pedagogical implications from the main experiment.

CHAPTER 12

Pedagogical Implications

12.0. Introduction

This chapter covers the pedagogical implications of this investigation. I shall first describe the syllabus design used in the pilot study. Second, I shall discuss the selected components of the pilot study which I believe reflect operative classroom procedures for conveying theoretical input. I have restricted my description of classroom procedures to only selected portions of the pilot study because subjects were also used to supply this analysis with data, and the means of obtaining such data is questionable for classroom instruction (such as asking subjects to express in writing what they regarded as 'context'). Also in this chapter, I shall offer suggestions for teaching the specific comprehension skills tested in the main experiment.

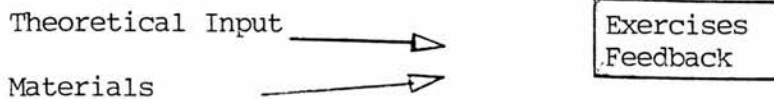
12.1 Syllabus Design

A syllabus design provides an outline aimed at fulfilling teaching objectives¹. Thus, I begin this section by introducing the teaching objectives in the pilot study. The programme administered to Groups 1 and 3 had a slightly different teaching objective from that administered to

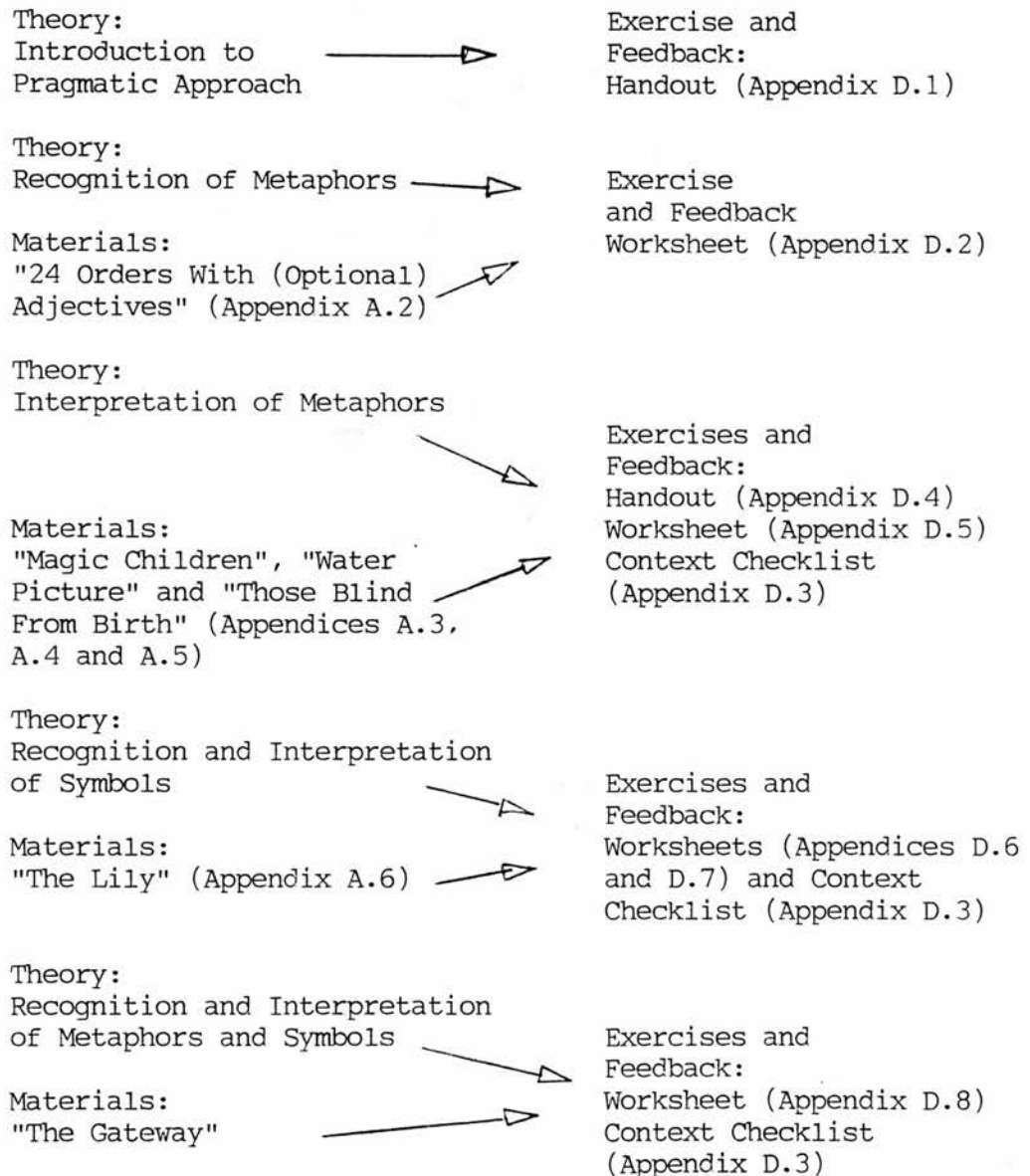
Group 2 (see Appendix C for subject profiles). Groups 1 and 3 were attending a course entitled 'Literary Studies', which was a language course for students of literature, and Group 2 was attending a course entitled 'English Language and Literary Stylistics', which was primarily a literary stylistics course. Hence, the teaching objectives for the programme which used the theoretical approach (described in Part 2 of this thesis) were as follows: for Groups 1 and 3 the main objective was to teach metaphor comprehension skills and English language, utilizing poetry written in English and a pragmatic approach to metaphors; for Group 2 the main objective was to teach metaphor comprehension skills and a pragmatic theoretical description (both as an aid in comprehension and for the study of the theory per se).

More specific objectives applied to each classroom session. For instance, the first session for all three groups had its own specific objectives: 1) to introduce students to pragmatics as a way of approaching literature, and 2) to teach students how to employ Grice's maxim of Quality in order to recognize possible metaphors. I shall not state these specific objectives in more detail as they will become apparent from the syllabus designs to follow.

For the main and specific teaching objectives, the general syllabus design was as follows:



The theoretical input was divided into parts, with different poems used for each part². The specific syllabus design was as follows:



12.2 Presentation of Theoretical Input

In this section, I shall discuss components of the presen-

tation of the theoretical approach which may be pedagogically valuable. First, I shall discuss the simplification of the theoretical notions for use in a classroom setting. Second, I shall describe some of the techniques I used in order to translate an abstract theoretical account of the cognitive processes involved in comprehension into an account that is more accessible to students.

Simplification of Theoretical Notions

Though the concepts of 'metaphor' and 'symbol' may not seem as abstract as notions like 'pragmatics' and 'intertextuality', they are terms which needed to be explained for students' use. Given the classroom setting of this investigation, it was decided that the terms 'metaphor' and 'symbol' be given simple definitions and illustrative examples.

Metaphors were defined as implied relations between terms which emerge from literal falsehoods, and which may be described as evoking a comparison, juxtaposition or synecdoche. The more specific terms used to describe metaphors were defined (as in 6.3.) and appeared with examples on a classroom handout (in Appendix D.4); this handout is repeated on the next page for convenience.

METAPHORS

comparison	personification	compound metaphor
juxtaposition	depersonification	mixed metaphor
synecdoche	poetic metonymy	idiom
	ontological metaphor	symbol

Samples Illustrating the Various Types of Metaphors

- a. There were big draughty rooms
where emptiness and silence slurred over each other.
-K.N. Daruwalla
- b. The drizzle falling seems
To wash away all ambition.
-B. Patten
- c. On her cheek an autumn flush,
Deeply ripen'd ;
-T. Hood
- d. Trees and hedges
Danced circles round Sally.
-A. Mitchell
- e. This flesh was seeded from no foreign grain
But Pennsylvannia and Kentucky wheat,
-S.V. Benet
- f. To him
Man is machine, machine is man.
-W. Gibson
- g. By the light of the
meat-eating sun...
-D. Thomas
- h. I am a dove. You
recognize the hawk.
-R. McGough

IMPORTANT NOTE: These metaphors have been taken out of their original contexts. We are, in these particular cases, still able to derive some meaning from them. However, if they were presented in their original contexts, we would probably find more meanings.

Subjects assigned the terms to the samples in order to reach the following responses:

- a. ontological metaphor
- b. ontological metaphor
- c. depersonification
- d. personification
- e. depersonification
- f. personification/depersonification (compound metaphor)
- g. personification
- h. depersonification/symbol (compound metaphor)

In addition to the use of this handout, students were reminded of the terms used for describing metaphor from a part of their Context Checklist (which appears in full in Appendix D.3.):

Background Knowledge of Literary Metaphors

- 1. Knowledge of the ways in which meanings are exchanged in metaphors, such as comparison, synecdoche and juxtaposition. _____
 - 2. Knowledge of types of metaphors, such as personification, depersonification, poetic metonymy and ontological metaphors. _____
-

Symbols were defined as things (objects or images) which stand for something else. A greater understanding of this concept was aimed at by utilizing students' assumed knowledge of icons and common symbols. Students were given a worksheet which they filled in at home, prior to the classroom session on symbols. This worksheet appears on the next page (and in Appendix D.6.).

SYMBOLISM

Signs and icons are symbols. Below are some common signs; under each, write what the sign represents.



1. _____



2. _____



3. _____



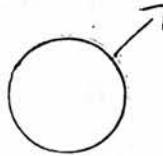
4. _____

Some signs, such as the one below, have many meanings. List three things it might represent.

5. _____

6. _____

7. _____



In literature, authors use not only signs, such as those above, but also images to symbolize more abstract notions. Below are three words which express images; list what they may symbolize.

RED	TREES	WINTER

The classroom discussion from the above worksheet provided responses, such as the following:

1. Star of David - Judaism
2. Anke - Egyptian symbol
3. Infinity
4. Love
5. War
6. Male

7. Mars

Red = passion, violence

Trees = fertility, nature, Tree of Life

Winter = infertility, death

Similar to the methods used for teaching the concept of metaphor, students were also reminded of the definition of a literary symbol on a part of their Context Checklist:

Background Knowledge of Literary Symbols

1. Generally, symbols are images used to represent some abstraction, such as concepts and ideas. _____
 2. Knowledge of types of symbols, distinguished by their sources. Consider the following:
 - a. Symbols from pre-existing symbols (intertextuality).
 - b. Symbols created within the text. These may first appear in a metaphor, or they may be established using repetition and/or opposition.
-

Terms such as metaphor and symbol may be taught in various ways, and these terms were already familiar for many of the students used in this investigation. However, terms such as 'pragmatics' and 'intertextuality' have meanings specific to linguistics, and they were not familiar to many of the students.

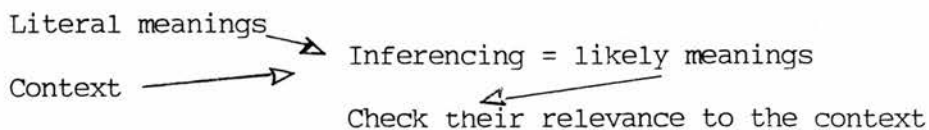
The pragmatic approach used with the students was introduced to them by use of a handout (which appears in Appendix D.1.), given prior to their classroom sessions. Students commented that the handout was extremely helpful when used in understanding the fundamentals of the approach used.

The concept of intertextuality was described as 'an instance in which one text (poem) borrows something from another text, or tradition of texts'. This definition was aided by examples, such as those described in section 6.2. (on intertextuality). In addition, intertextuality was included in the students' worksheets (as in Appendices D.5, D.7 and D.8), the relevant portion of which appears below:

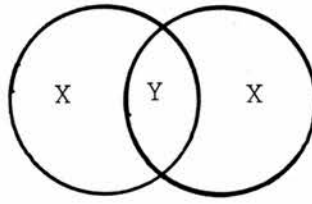
Intertextuality:
 Specific lines from another literary text. _____
 Images from another literary text. _____
 Images from a tradition of literary texts
 (such as in mythology), and other art forms
 (such as in paintings). _____

Aids in Describing Comprehension Processes

Given that comprehension involves many unobservable cognitive processes, the three stages of comprehension (i.e. determining context, assigning lexical meanings and inferencing from context and meaning) were described using the diagram below (which was written on a blackboard):



The search for literal meanings (denotative and connotative) using the diagram below (the same diagram used in Eco's schema and throughout this exposition):



As mentioned earlier, properties of the literal terms of a given metaphor were placed in X, if mutually different, and Y, if possibly similar.³

In order to describe context, contextual categories were used (simplifications of those defined in Chapter 6). However, while students' responses to the contextual categories were useful in the development of the theoretical approach used in this exposition, I question the pedagogical appropriateness of presenting contextual features by means of such categories. For instance, contextual features could be described to students without the features being classified, as the classification per se may be difficult to understand.

As a final note, I point out that the methods discussed above as ways of describing comprehension processes were appropriate for the students used in this investigation. These methods may be more or less appropriate when used with different students.

12.3.1. Reinforcing the Use of Intertextuality

In the last section, I mentioned one way of reinforcing the use of intertextuality by using in-class worksheets with reminders of types of intertextual referents. Here, I shall suggest two other means of reinforcing the use of intertextuality by EFL students.

Both of these alternative methods to reinforce the use of intertextuality are based on the idea of supplying students with the information from which intertextual referents are drawn (as opposed to informing them of the types of intertextual referents). One method is to supply such information prior to the presentation of the reading texts. This naturally leads to the problem of how much information should be given and how much information should be held back for students' to benefit from the experience of self-discovery. According to Gajdusek (1988), teachers should provide all of the information that native speakers are likely to possess (in particular, the culture-bound material); this is based on Gajdusek's observation that the writer assumes he or she is addressing native speakers.

The other alternative method to reinforce students' use of intertextuality involves supplying students with the appropriate reference materials (such as readers' encyclopedias and Biblical concordances). While this method would

allow for students' self-discovery experiences, it relies on students' study skills, which could be weak. Moreover, as noted in Chapter 6, intertextual referents also emerge from cultural traditions, which are not always covered in reference materials.

12.3.2. Assisting Students in Recognizing Literal and Metaphorical Levels of Poems

The different techniques used to assist subjects of the pilot study in recognizing literal and metaphorical levels of poems (as in the worksheets in Appendix D) proved cumbersome and seemed inadequate in reaching students' needs. Thus, instead of having students express in writing the literal and metaphorical levels, an entire teaching programme could be based on comparative analyses of literal and metaphorical language (as suggested by Widdowson, 1975 and Holst, 1981). Since subjects' responses to deviation in the poem "24 Orders With (Optional) Adjectives" revealed a basic understanding of literal/metaphorical distinctions at utterance levels (which was also indicated to a lesser extent with their responses to other poems), this understanding could be used as a starting point. The analysis (performed by students, with teacher guidance) would then built up from single metaphorical utterances to extended metaphors and eventually, to metaphors extended throughout a poem (representing a metaphorical level).

The students' analyses could be further assisted by starting with poems where the literal/metaphorical distinctions are clear and where there is not overlapping between the levels (as discussed in the cases of subjects' responses to "Magic Children", "The Gateway" and "The Garden"). For example, May Swenson's poem "Water Picture" (in Appendix A.4) describes images which are literally false, or not possible. Moreover, in "Water Picture" the literal level of the poem is explained in the first two lines:

In the pond in the park
all things are doubled:

Comparative analyses might also involve the use of non-poetic texts, which would serve as a contrast. The value of this particular technique has also emerged from subjects' responses to "24 Orders With (Optional) Adjectives"; as pointed out in Chapter 9, some of these responses suggested that the subjects were influenced by the presence of a poetic text, and produced metaphorical responses when they were instructed to produce 'non-deviant' responses.

12.4. Concluding Remarks on Pedagogical Implications

In this chapter, I have described my syllabus design and some of the ways in which theoretical terms and descriptions of the comprehension process may be presented to students.

Also in this chapter, I have suggested means of reinforcing

the use of intertextuality in formulating interpretations and means of assisting students in recognizing literal and metaphorical levels of poems. These methods have included the teaching of background information and comparative analyses for students' use.

CHAPTER 13

Conclusions

13.1. Summary of Findings

The result of the main experiment of this investigation is that my Hypotheses 1 and 2 have tested as true. Non-native English speakers are less likely than native English speakers to use intertextual referents in producing interpretations of literary metaphors and symbols found in poems written in English. And, non-native English speakers are less likely than native English speakers to comprehend the distinction between literal and metaphorical levels of the content of a poetic text written in English. In Chapter 12 I suggested methods of teaching these specific skills needed by EFL students. These methods include the teaching of background information and the use of classroom worksheets (as in Appendix D) for reinforcing the use of intertextuality, and the teaching of comparative analysis techniques to assist students in recognizing literal and metaphorical levels of the content of a poem.

The results of my pilot study have provided this investigation with the above mentioned hypotheses, and with suggestions for a syllabus design and for the use of literary stylistics in teaching comprehension skills.

The pragmatic approach to metaphor employed in this investigation, both for the teaching sessions of the pilot study and for the theoretical account of comprehension processes described in this thesis, suggest contextual features used for the interpretation of literary metaphors and symbols. This description of context (in Chapter 6) was intended for this specific investigation, and therefore, is of value if treated as a paradigm for future investigations.

13.2. Suggestions for Further Research

Here, I shall suggest two areas requiring research: the assessment of literary competence and the use of other groups of subjects.

Assessing Literary Competence

At the start of this investigation, I set out to test the success of the different versions of the classroom sessions by testing subjects' literary competence before and after the classroom programmes. From this failed attempt, several problems were realized.

The main problem involved finding test items that were reliable, i.e. where roughly an equal number of subjects replied correctly as those who replied incorrectly to the same item. After piloting and testing over 50 test items, which contained literary metaphors, only eight items proved

reliable.

Another difficulty arose in testing subjects' understanding of literary symbols. As pointed out earlier, literary symbols can occur as repeated images in a text. This factor posed a problem in finding test items with literary symbols which were not too lengthy and inappropriate in testing.

And finally, a problem in assessing literary competence is found in judging the acceptability of written replies. As pointed out in Chapter 2, the subjects' and the assessors' subjectivity to some extent influence the acceptability of literary interpretations.

Such difficulties in the assessment of literary competence have received little attention in linguistic studies and require further research.

Further Use of Informants

As stated earlier, in the main experiment I eliminated one of the variables of the experiment by using only Japanese speakers to represent my EFL group. An extension of my research might involve the use of other native speaker groups.

Another extension of my research would involve the use of

the same type of subjects. More data could be obtained to support the conclusions of the study and to further assist in answering some of the questions posed in this exposition.

Notes

Chapter 1

1. The pilot study is not a true pilot study insomuch as the material for this study had been piloted previously.

Chapter 2

1. This follows Van Dijk's precedence whereby 'text' is a term employed for theoretical convenience (1977).
2. Seung notes that affective stylistics naturally belongs to pragmatics because both disciplines are 'concerned with the affective tone of the reading experience' (1982:54).
3. I shall not enter this debate on these points as they pertain strictly to Belsey's article.

Chapter 3

1. This approach to the topic of metaphors can be found in Levinson (1983), Searle (1979), Martinich (1984) and others.
2. Connotative meanings are defined in Chapter 7. For the current purposes, connotative meanings refer to associations implied with a particular use of a word in a given context.
3. Here, I refer to D.A. Cruse (1987), Lexical Semantics.
4. Other proponents of interactive theories include Richards (1936), Nowotny (1962) and MacCormac (1986).
5. Carter (1987:119) views tenor and vehicle as follows:

The basic assumption here is that metaphor involves a deviant use of language (the vehicle) which is in some way semantically foregrounded against literal norms of a language (the tenor).

6. Searle points out that this is also true of irony, i.e. that sentence meaning and speaker's utterance meaning are different. He distinguishes between metaphor and irony in this case by the appropriacy of the situation. For irony, 'the hearer is compelled to reinterpret it in such a way as to render it appropriate' (p.99).
7. The terms 'verb-phrase' metaphors, 'metonymy' and 'synec-dole' are defined in Chapter 6.

8. The sign **C** is used here to refer to the semantic entailment of properties inherent in the X terms.

Chapter 4

1. Nair (1985) illustrates this in much greater detail than Grice. She notes that a violation of the maxim of Quality could be one of the following: lie, white lie, hyperbole, meiosis, irony, euphemism, paradox or metaphor.
2. This example comes from Cohen (1976).
3. My use of deviation refers only to interpretable deviation. I exclude cases, such as a speaker making an error in their speech, which are not interpretable.
4. It should be noted that 'enhance' once meant 'to rise above ground'; Graves may have intended this meaning.
5. Idioms are fully defined in 6.3.

Chapter 5

1. The maxim of Quality is not useful for recognizing literary symbols because such symbols are often interpretable at a literal level, and are therefore, literally true.
2. The student who interpreted the 'tower' as a Gothic symbol later suggested a sexual/romantic interpretation (see Appendix E, subject C3's responses).

Chapter 6

1. Journal of Pragmatics (1985) devoted an entire volume to this debatable issue of mutual (or shared) knowledge.
2. Clark and Marshall (1981) illustrate the infinite regress problem with this poem (of which I will provide only an excerpt):

So Jill does not know
 she does not know
that Jack does not know
that Jill thinks
that Jack does not know...

-"Knots" by R.D. Laing

3. Brown and Yule (1983:236-256) discuss several attempts to represent background knowledge as knowledge of the world.

4. Here I use 'relevance' in a layman's sense, of information 'bearing on or having reference to the matter at hand' (OED).
5. Henzell-Thomas (1985:52) suggests that determining context actually requires multi-disciplinary research (encompassing not only pragmatics, but disciplines such as cognitive and social psychology and artificial intelligence).
6. One could employ the term 'static' to describe settings; however, this would be confusing since 'static' also refers to 'state of being' predications.
7. This classification of content is based on Lyons' classification of 'situation' (1977:483), where situations are described as being either 'static' or 'dynamic'.
8. I am excluding from my discussion of intertextuality, uses of the term that have recently appeared in works on interlanguage (where intertextuality accounts for students' expectations of the learning process).
9. In this context, I use 'reception' in a broad sense to include anticipatory and retrospective recognition of intertextuality.
10. In Barthes (1975:19-20) 'reality and 'truth' are also referred to as 'intertextuality'.
11. Kristéva's use of intertextuality is interpreted in a broader sense by Culler:

A work can only be read in connection with or against other texts, which provides a grid through which it is read and structured by establishing expectations... (1975:139)

12. This is found in numerous works including Oh and Dineen (1979), Levinson (1983) and Eco and Violi (1987).
13. In Sufi Literature, the goblet of wine has significance as the bearer of 'the wine of divine knowledge' (Bell, 1897:124).
14. This interpretation of apple trees appears in Graves' translation of "The Rubaiyyat of Omar Khayaam" (1967).
15. Both of these may be regarded as types of intertextuality (Richards, 1985); however, I would argue that these should not be classified as such because the poet probably does not know he is referring to his own work.

16. This distinction between metaphor and metonymy (and synecdoche) is similarly described by Nowottny (1972).
17. While mixed metaphor and idiom are not truly 'literary' metaphors, they were included in this account for the benefit of the students used in this investigation.
18. Other accounts of a more philosophical nature come from Carnap (1956) with his 'expressions', 'intensions' and 'extensions', and from Saussure's dyad of 'signifier' and 'signified' (1916).
19. Of course, the sign '+' has other meanings, such as its use for 'addition' in mathematics.

Chapter 7

1. Other theorists have distinguished denotative and connotative meanings by using similar concepts, such as 'lexical meaning' and 'practical knowledge' (Miller, 1977).
2. The use of dictionary meaning for denotative meaning has a long history and is now the layman's sense of the word 'denotative'.
3. This classification is loosely based on Leech's seven types of meaning (1974), which are as follows: 1) conceptual, 2) connotative, 3) stylistic, 4) affective, 5) reflective, 6) collocative and 7) thematic meaning.
4. I have specified that 'bandy' here could only be used as an adjective. The verb 'bandy', meaning to converse, could be used without bringing to mind the collocation of 'bandy-legged'.

Chapter 8

1. Levinson correlates implicatures with inferences, yet also refers to 'felicity conditions' as a type of inference.
2. Grice actually divided implicatures into conventional and conversational, but several theorists prefer a conventional/non-conventional division of Grice's work (as in Sadock, 1981 and Nunberg, 1984).
3. Brown and Yule (1983) and Van Dijk (1981) agree on the inadequacies of taxonomic approaches to inferences.
4. Rieger (1974) suggests that 'all possible inferences are made before the next proposition in the event chain is considered...' (in Warren et al, 1978:43). More recent studies (including Sperber and Wilson, 1982

and Hobbs, 1979) suggest that the addressee stops making inferences once a relevant inference is reached.

5. As a reminder, the other two types of literary symbols are: 1) symbols created within a text (but not from metaphors) and 2) symbols derived from preexisting symbols.
6. Eco uses the phrase 'sememic substitution', which I have simplified by the term 'merge'.
7. Nonetheless, Eco's coinage may be viewed as loosely metaphorical.
8. Allwood et al give the following examples of deductive and inductive arguments:

Deductive:
Premises: If it's snowing it's cold.
 It is snowing.
Conclusion: It is cold.

Inductive:
Premises: When it's snowing, it's usually cold.
 It 's snowing.
Conclusion: It is cold.
9. Eco describes how mutually different properties remain active, in which case the properties contribute to the co-text.
10. Others use the term 'co-text' to refer to discourse occurring prior to a given utterance (as in Brown and Yule, 1983 and Halliday, 1985).
11. This differs slightly from the layman's definition of 'relevance' as noted earlier.
12. Since context is incremental, relevant context is also determined during inferencing procedures. For the ease of presenting a theoretical description, I have separated the stage of determining relevant context from the stage of inferencing procedures.

Chapter 9

1. What is treated here as deviant is based on informal consultations with native English speakers at the University of Edinburgh.
2. The response from G3 of "very-much" I will assume was an Italianization of "very".
3. This response of "proper mind" may have come from a

subject whose native tongue is French.

4. This response linking Canada to the poem "Magic Children" is likely the result of informing these subjects that the author of the poem is Canadian.
5. Here, I take into consideration the fact that students do not necessarily learn what is taught to them.
6. This response, however, does not seem relevant in the context of the poem.

Chapter 10

1. The Michigan English Language Proficiency Test (commonly known as the Michigan test) is an English language placement test used with EFL students entering American language institutions (including universities). The test assesses listening, grammar, vocabulary and reading competence. (Unfortunately, strict copyright laws prohibit the duplication of any part of this test.)
2. While the effects L1 has on reading literature in L2 are debatable (for opposing views see Low, 1988 and Carter, 1989), I point out the existence of intertextuality in Japanese literature (as noted in Zen and Japanese Culture by D.T. Suzuki and in Benét's Reader's Encyclopedia, third ed.). In addition, Kenneth Yasuda points out (in The Japanese Haiku) that in the case of translated poetry, there is no fundamental difference 'in the understanding of poetry between East and West'.
3. Three of the remaining experimental group subjects interpreted the garden as the woman, suggesting they may have seen the literal/metaphorical distinction; however, they did not provide interpretations showing any personification of the parts of the garden.

Chapter 11

1. Unlike Seung (as mentioned in the Chapter notes), according to Davies (1985), it would seem that stylistics is not subsumed under pragmatics.
2. Low (1988) is concerned with conversational metaphors, many of which would be classified by my study as 'idioms'.

Chapter 12

1. This assumption of what a syllabus design is intended to do may be found in many studies in TEFL, including S.P. Corder's Introducing Applied Linguistics (1973:140).

2. For Group 3, in addition to the poems used with all three groups, the poem "Rhapsody of a Windy Night" was used throughout the programme.
3. As a result of the pilot study, I do not advise a strict following of the FAMP schema. When the FAMP schema was applied to "Man is machine" in the c/assroom discussions, the M and P properties often came to the students' minds before the F and A properties.

APPENDIX A

Poems Used by Subjects of the Pilot Study

A.1. This poem was used during Session 1 for recognizing possible metaphors.

24 Orders With (Optional) Adjectives

- 1 fetch my (happy) screwdriver
smell those (sugary) goldfish
shut that (amazing) door
touch my (scrawny) statues
- 5 close your (intricate) eyes
fill up the (Russian) hole again
tell your (gaping) sister
put that (shining) bomb together
spare my (murky) child
- 10 show your (grey) feelings
put up your (smiling) hand
hide your (iron) face
hand over those (solemn) emeralds
don't try to get (red-handed) funny with me.
- 15 wash their (impertinent) car
cut its (sweet) throat
eat your (exclusive) cabbage
take down your (little) trousers
make up your (agile) mind
- 20 get down on your (frightening) knees
stick to your own (pathetic) kind
take the (stupid) tea
polish those (harmonious) boots

-Adrian Mitchell

A.2. Only used with Group 3, this poem was employed throughout their programme.

Rhapsody on a Windy Night

- 1 Twelve o'clock.
Along the reaches of the street
Held in a lunar synthesis,
Whispering lunar incantations
- 5 Dissolve the floors of memory
And all its clear relations

Its divisions and precisions,
Every sweet lamp that I pass
Beats like a fatalistic drum,
10 And through the spaces of the dark
Midnight shakes the memory
As a madman shakes a mad geranium.

Half-past one,
The street-lamp sputtered,
15 The street-lamp muttered,
The street-lamp said, "Regard that woman
Who hesitates toward you in the light of the door
Which opens on her like a grin.
You see the border of her dress
20 Is torn and stained with sand,
And you see the corner of her eye
Twists like a crooked pin".

The memory throws up high and dry
A crowd of twisted things;
25 A twisted branch upon the beach
Eaten smooth and polished
As if the world gave up
The secret of its skeleton,
Stiff and white.
30 A broken spring in a factory yard,
Rust that clings to the form that the strength has left
Hard and curled and ready to snap.

Half-past two,
The street-lamp said,
35 "Remark the cat which flattens itself in the gutter,
Slips out its tongue
And devours a morsel of rancid butter."
So the hand of the child, automatic,
Slipped out and pocketed a toy that was running along the quay,
40 I could see nothing behind that child's eye.
I have seen eyes in the street
Trying to peer through lighted shutters,
And a crab with barnacles on his back,
Gripped the end of a stick which I held him.

45 Half-past three,
The lamp sputtered,
The lamp muttered in the dark,
The lamp hummed:
"Regard the moon,
50 La lune ne garde aucune rancune,
She winks a feeble eye,
She smiles into corners.
She smooths the hair of grass.
The moon has lost her memory.
55 A washed-out smallpox cracks her face,
Her band twists a paper rose,

That smells of dust and eau de Cologne,
 She is alone
 With all of the old nocturnal smells
 60 That cross and cross across her brain."
 the reminiscence comes
 Of sunless dry geraniums
 And dust in crevices,
 Smells of chestnuts in the streets,
 65 And female smells in shuttered rooms,
 And cigarettes in corridors
 And cocktail smells in bars.

 The lamp said,
 "Four o'clock,
 70 Here is the number on the door.
 Memory!
 You have the key,
 The little lamp spreads a ring on the stair.
 Mount.
 75 The bed is open; the tooth-brush hangs on the wall,
 Put your shoes at the door, sleep, prepare for life."

 - T.S. Eliot

A.3. This poem was used by Groups 1,2, and 3 during Session
 2 for interpreting literary metaphors.

Magic Children

1 My children, you grow so
 You make me feel like a joke,
 A tiny car a lot of clowns
 Climb out of.

 5 How you multiply,
 From none to three.
 Your father and I must be
 An old vaudeville act,
 And life is quicker than the eye.

 10 Rabbits, red and yellow scarves,
 Fountains of paper flowers
 Spring from you.
 Doves disappear
 In velvet curtains
 15 Of your hair.

 Oh, my magic children --
 You saw me in two,
 Are my bed of nails,
 The burning coals I walk through,

- 20 Proof against wounds.
- Loves, how shall I tell you
What I feel?
Like fans of cards,
Eternal and unreal,
- 25 We must all fold back
Into our our illusions.

- Barbara Drake

A.4. This poem was only used by Group 1, for additional
practise at interpreting literary metaphors.

Water Picture

- 1 In the pond in the park
all things are doubled:
Long buildings hang and
wriggle gently. Chimneys
- 5 are bent legs bouncing
on clouds below. A flag
wags like a fishhook
down there in the sky.
- The arched stone bridge
10 is an eye, with underlid
in the water. In its lens
dip crinkled heads with hats
that don't fall off. Dogs go by,
barking on their backs.
- 15 A baby taken to feed the
ducks, dangles upside down
a pink balloon for a buoy.
- Treetops deploy a haze of
cherry bloom for roots,
20 where birds coast, belly up
in the glass bowl of a hill;
from its bottom a bunch
of peanut munching children
is suspended by their
- 35 sneakers, waveringly.
- A swan, with twin necks
forming the figure three,
steers between two dimpled
towers doubled. Fondly
- 30 hissing, she kisses herself,
and all the scene is troubled:
water-windows splinters,

tree-limbs tangle, the bridge
folds like a fan.

- May Swenson

A.5. This poem was only used by Group 2, for additional practice at interpreting literary metaphors.

Those Blind from Birth

- 1 Those blind from birth ignore the false perspective
Of those who see. Their inwards-gazing eyes
Broaden or narrow no right-angle;
Nor does a far-off mansion fade for them.
5 To match-box size.

- Those blind from birth live by their four sound senses.
Only a fool disguises voice and face
When visiting the blind. Smell, tread and hand-clasp
Announce just why, and in what mood, he visits
10 That all-observant place.

- Robert Graves

A.6. This poem was used by all three groups for recognizing and interpreting literary symbols.

The Lily

The modest rose puts forth a thorn,
The humble Sheep a threat'ning horn;
While the Lily white in Love delight,
Nor a thorn, nor a threat, stain her beauty bright.

- William Blake

A.7. This poem was used by all three groups for interpreting literary metaphors and symbols.

The Gateway

- 1 After three years of constant courtship
Each owes the other more than can be paid
Short of a single bankruptcy.
Both falter
5 At the gateway of the garden; each advances
One foot across it, hating to forgo

The pangs of womanhood and manhood;
Both turn about, breathing love's honest name,
Too strictly tied by bonds of miracle
10 And lasting magic to be easily lured
Into acceptance of concubinage:
Its deep defraudment of their regal selves.

- Robert Graves

APPENDIX B

Sample of Course Outline

Objective - Language study and practise through appreciation and discussion of poetry written in English.

Structure of Component - Basically in two parts:

1) focusing on linguistic awareness and 2) developing further understanding by topical discussions. Part 1 (weeks 1 and 2) covers linguistic and extra-linguistic features in order to increase linguistic awareness. These features are taught in the sequence below:

Linguistic Features	Extra-linguistic Features	Linguistic Awareness of:
1. Deviance		Poetic Lang./ Metaphors
2. Deviance	Context and inferencing	Metaphors
3. Repetition of meaning and relevance	Context and inferencing	Symbols
4. Repetition of sound patterns		Rhyme/ Alliteration/ Assonance/ Consonance
5. Patterns of Stress and Intonation		Rhythm/Metre

Part 2 (week 3) covers discussion points in order to develop further understanding of texts. The topics in this part are taught in the following sequence:

6. Varieties of English (older English and dialects)
 7. Literary Criticism
 8. The Role of the Poet in Society
-

APPENDIX C

Profile of Subjects

C.1. Table 1. Home Country (Numbers refer to the number of subjects).

PILOT STUDY				
Home Country	Group 1	Group 2	Group 3	Group 4 (control)
Austria				1
China		2		
France			1	
Finland		1	1	
W. Germany	2	2	1	
India		1		
Italy	7		3	2
Japan	1	2	1	2
Saudi Arabia			2	
Singapore		1		
Spain	1	2	2	2
Switzerland	3	4	2	
Zaire		1		
Totals	14	16	13	7

MAIN EXPERIMENT

The twelve subjects of the experimental group were from Japan, and the twelve subjects of the control group were from the United States of America.

C.2. Table 2. L1, or Mother Tongue (numbers refer to the number of subjects)

PILOT STUDY				
L1	Group 1	Group 2	Group 3	Group 4 (control)
Arabic			2	
Catalan		2		
Chinese (Cantonese)		2		
Chinese (Mandarin)		1		
Finnish		1	1	
French	1	1	1	
German	3	5	3	1
Italian	7		3	2
Japanese	1	1	1	2
Kinande		1		
Portugese	1			
Spanish	1		2	2
Tamil		1		

MAIN EXPERIMENT

L1 for the twelve experimental subjects was Japanese, and American English (with one bilingual English/Spanish) for the twelve control group subjects.

C.3. Table 3. Reading knowledge in L2 other than English.

(Numbers refer to the number of subjects.)

PILOT STUDY				
L2 (Reading)	Group 1	Group 2	Group 3	Group 4 (cntrl)
Chinese				2
Czechoslovak.		1		1
French	9	7	3	3
German	3	1	2	1
Greek (ancient)	2			
Italian	1	2	1	
Japanese		1		
Latin	5	3	2	1
Russian		1		1
Spanish	1	2		3
Swahili		1		
Swedish		1	1	

MAIN EXPERIMENT

None of the twelve experimental subjects possessed reading knowledge of an L2 other than English. Of the twelve control subjects, six claimed reading knowledge of Spanish, two of French and two of Latin.

APPENDIX D

Classroom Materials Used in Pilot Study

D.1. The handout below was given to subjects before the first session, and was intended as an aid in understanding the theoretical notions used in the programme.

POETRY COMPONENT - INTRODUCTION TO LINGUISTIC APPROACH

The aim of this component is for you to develop skills allowing you to interpret and appreciate poetry written in English. The interpretation of poetry involves understanding poetic language, which often extends beyond the existing language by creating new meanings and forms.

Your interpretations of meanings will be greatly helped by increasing your linguistic understanding of poetic language; this will be approached by a linguistic area called "pragmatics". In pragmatics, a text (such as a poem) is examined by trying to reproduce its original context when the text itself does not provide sufficient context for interpretation. We will discuss the use of context found within the text and outside of the text during this first week.

From pragmatics we will also use Grice's Cooperative Principle in order to recognise metaphors and symbols which dominate poetic expression. The Principle is based on the idea that speakers (and writers) ideally communicate by being "cooperative". In other words, a speaker only says what is necessary and truthful if he wants to get his message across in a "direct" manner. Poets, however, often draw our attention to their creative use of language by being "indirect" and "uncooperative". In these cases, we might say that the poet violates one or more of the maxims of Grice's Principle; the maxims are as follows:

Quantity:

1. Make your contribution as informative as is required (for current purposes of exchange).
2. Do not make your contribution more informative than is required.

--continued...

Appendix D.1. continued

Quality:

1. Do not say what you believe to be false.
2. Do not say that for which you lack adequate evidence.

Relation:

1. Be relevant.

Manner:

Supermaxim - Be perspicuous.

1. Avoid ~~obscurity~~ of expression.
2. Avoid ambiguity.
3. Be brief (avoid unnecessary prolixity).
4. Be orderly.

This week we will learn how to recognise metaphors and symbols by considering which maxims the poets have violated.

Once a possible metaphor or symbol is recognised, we can interpret the meaning of the expression by "inferring", or "inferencing", from our knowledge of the words which make up the expression and from other features of context within and outside of the text. "Inferring", which is also of interest to pragmaticists, refers to the way we deduce, or figure out, meaning from "indirect" speech (such as the use of metaphors and symbols).

In sum, our approach to interpreting the plausible meaning* of poems is to first recognise the metaphors and symbols by using Grice's Cooperative Principle; and second, to interpret them by using features of context (i.e. our linguistic knowledge and features of context within and outside of the text) and inferencing.

*"Plausible meanings" because meaning in poetry is not absolute.

D.2. This worksheet was used during the first session. In addition to introducing subjects to pragmatics, this session focused on the recognition of possible metaphors.

WORKSHEET FOR "24 ORDERS WITH (OPTIONAL) ADJECTIVES

1. After your first reading of this poem discuss your first impressions with your partner. How is this poem similar or dissimilar to other poems you have read?
2. Rewrite the text filling in the blanks with which would make each line follow the Cooperative Principle.

- 1 fetch my _____ screwdriver
 smell those _____ goldfish
 shut that _____ door
 touch my _____ statues
 - 5 close your _____ eyes
 fill up the _____ hole again
 tell your _____ sister
 put that _____ bomb together
 spare my _____ child
 - 10 show your _____ feelings
 put up your _____ hand
 hide your _____ face
 hand over those _____ emeralds
 don't try to get _____ funny with me
 - 15 wash their _____ car
 cut its _____ throat
 eat your _____ cabbage
 take down your _____ trousers
 make up your _____ mind
 - 20 get down on your _____ knees
 stick to your own _____ kind
 take the _____ tea
 polish those _____ boots
-

D.3. The checklist below was given to subjects to assist them in remembering contextual features useful for interpretation. The checklist was used for teaching sessions 2, 3 and 4.

CONTEXT CHECKLIST

Use this checklist as a reminder of context outside of the text itself.

Background Knowledge of the Text

1. Information about the poet, such as typical themes in his work. _____
2. Information about the time and place in which the poem was written, such as the cultural movements, or ideological trends. _____

Background Knowledge of Literary Metaphors

1. Knowledge of the ways in which meanings are exchanged in metaphors, such as comparison, synecdoche and juxtaposition. _____
2. Knowledge of types of metaphors, such as personification, depersonification, poetic metonymy and ontological metaphors. _____

Background Knowledge of Literary Symbols

1. Generally, symbols are images used to represent some abstraction, such as concepts and ideas. _____
2. Knowledge of types of symbols, distinguished by their sources. Consider the following:
 - a. Symbols from pre-existing symbols (intertextuality).
 - b. Symbols created within the text. These may first appear in a metaphor, or they may be established using repetition and/or opposition._____

D.4. The handout below was used during the second session as an aid in defining metaphors.

METAPHORS		
comparison	personification	compound metaphor
juxtaposition	depersonification	mixed metaphor
synecdoche	poetic metonymy	idiom
	ontological metaphor	symbol

Samples Illustrating the Various Types of Metaphors

- a. There were big draughty rooms
where emptiness and silence slurred over each other.
-K.N. Daruwalla
- b. The drizzle falling seems
To wash away all ambition.
-B. Patten
- c. On her cheek an autumn flush,
Deeply ripen'd ;
-T. Hood
- d. Trees and hedges
Danced circles round Sally.
-A. Mitchell
- e. This flesh was seeded from no foreign grain
But Pennsylvannia and Kentucky wheat,
-S.V. Benet
- f. To him
Man is machine, machine is man.
-W. Gibson
- g. By the light of the
meat-eating sun...
-D. Thomas
- h. I am a dove. You
recognize the hawk.
-R. McGough

IMPORTANT NOTE: These metaphors have been taken out of their original contexts. We are, in these particular cases, still able to derive some meaning from them. However, if they were presented in their original contexts, we would probably find more meanings.

D.5. This worksheet was used with subjects during session 2 for the interpretation of literary metaphors.

WORKSHEET FOR METAPHORS

Step 1: After your first reading of the poem, consider the context created within the text itself. Fill in the boxes below with your notes.

SETTINGS:

Literal -

HAPPENINGS:

Literal -

Metaphorical -

Metaphorical -

Other features of context created within the text may include intertextuality. As a reminder of these features, use the checklist below.

Intertextuality:

Specific lines from another literary text. _____

Images from another literary text. _____

Images from a tradition of literary texts _____

(such as in mythology), and other art forms

(such as in paintings). _____

Step 2: Circle phrases which violate the maxim of Quality (phrases which are literally false).

Step 3: Try to figure out the meaning of the phrases you have circled by inferring from the literal meanings you associate with those phrases and the contextual knowledge you have about the poem (refer to your Context Checklist).

Always check the meaning you have given to a metaphor by testing whether it is relevant in the context of the poem.

D.6. The worksheet below was given to subjects as a home-work assignment, and was intended as an introduction to session 3.

SYMBOLISM

Signs and icons are symbols. Below are some common signs; under each, write what the sign represents.



1. _____



2. _____



3. _____



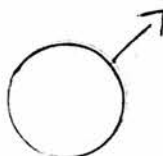
4. _____

Some signs, such as the one below, have many meanings. List three things it might represent.

5. _____

6. _____

7. _____



In literature, authors use not only signs, such as those above, but also images to symbolize more abstract notions. Below are three words which express images; list what they may symbolize.

RED	TREES	WINTER

D.7. This worksheet was used for the third session, which focused on the recognition and interpretation of literary symbols.

WORKSHEET FOR SYMBOLS

Step 1: After your first reading of the poem, consider the context created within the text itself. Fill in the boxes below with your notes.

SETTINGS:

Literal -

HAPPENINGS:

Literal -

Metaphorical -

Metaphorical -

Other features of context created within the text may include intertextuality. As a reminder of these features, use the checklist below.

Intertextuality:

Specific lines from another literary text. _____

Images from another literary text. _____

Images from a tradition of literary texts
(such as in mythology), and other art forms
(such as in paintings). _____

Step 2: Circle phrases which violate the first maxim of Quantity (phrases which give too much information by using repetition) and phrases which violate the maxim of Relation (phrases which appear irrelevant).

Step 3: Try to figure out the meaning of the phrases you have circled by inferring from the literal meanings you associate with those phrases and the contextual knowledge you have about the poem (refer to your Context Checklist).

Remember that the most useful features of context for interpreting symbols can be found through intertextuality.

D.8. This worksheet was used during the final session, which reviewed skills for recognizing and interpreting metaphors and symbols.

WORKSHEET FOR METAPHORS AND SYMBOLS

Step 1: After your first reading of the poem, consider the context created within the text itself. Fill in the boxes below with your notes.

SETTINGS:

Literal -

HAPPENINGS:

Literal -

Metaphorical -

Metaphorical -

Other features of context within the text may include intertextuality. As a reminder of these features, use the checklist below:

Intertextuality:

Specific lines form another literary text. _____

Images from another literary text. _____

Images from a tradition of literary texts (such as in mythology), and other art forms (such as paintings). _____

Step 2: Circle phrases which violate maxims of Quality, Quantity and/or Relation (phrases which may be metaphors or symbols).

Step 3: Try to figure out the meaning of the phrases you have circled by inferring from the literal meanings you associate with those phrases and the contextual knowledge you have about the poem (refer to your Context Checklist).

Remember that the most useful features of context for interpreting symbols can be found through intertextuality.

Always check your interpretations to their relevance in the context of the text itself.

APPENDIX E

Full List of Main Experiment Subjects' Responses

E.1. List of experimental group responses, according to subject. As a reminder, subjects were asked to circle any words that they did not know (denotative or literal meanings); these are also indicated below.

Subject 1

Words circled - enhanced, buds, breasts, leafed, horde, thickets, grumble and dissonance.

buds - (no response)
garden - her

Subject 2

Words circled - leafed, horde, thickets, grumble and dissonance.

tower - very high
flowers - twin buds of her breasts are beautiful
garden - she

Subject 3

Words circled - horde, thickets, grumble and dissonance.

a tower - (no response)
the twin buds of her breasts - (no response)
the garden - herself
leafed - (no response)
the well - (no response)

Subject 4

Words circled - enhanced, grumble and dissonance.

her hair - branches and leaves of the tree
buds - before they blossom
fingers - branches
wandering - being shaken by the wind
he (him) - spring
asleep - to sleep during winter

Subject 5

Words circled - enhanced, horde and nested.

dreaming - (no response)

wandering - (no response)

Subject 6

Words circled - buds, breasts, horde, thickets and dissonance.

tower - tree

breasts - (no response)

fingers - branch

horde - (no response)

hair - (no response)

thicket - branch

Subject 7

Words circled - dissonance.

bud - window

leaf - move as a leaf

horde - singing

nest - alive

thicket - (no response)

grumble - wave

dissonance - (no response)

Subject 8

Words circled - enhanced, buds, horde, grumble, dissonance and dare.

buds - eyes

grumble - love

blossoms an apple-tree - (no response)

a horde of birds - (no response)

Subject 9

Words circled - enhanced, buds, horde, thickets, grumble and dissonance.

her breasts - garden flowers

fingers - long grasses

hair - leaves and twigs

Subject 10

Words circled - buds, leafed, horde, nested, grumble and dissonance.

breasts - her mind
thickets - (no response)

Subject 11

Words circled - enhanced, horde and dissonance.

garden - she
trees - arms, legs
breasts - flowers
thickets - hair

Subject 12

Words circled - enhanced, thickets, grumble and dissonance.

fingers leafed - (no response)
garden - a place where they are together - in a dream
calling him - not really calling - she is asleep
horde of birds - dream fairies

E.2. List of control group responses, according to subject. Note that these subjects did not circle any words as not understood.

Subject C1

enhanced in a tower - she wants to say she is in a closed place - secret place for dreams
the twin buds of her breasts opening like flowers - she is lying and her body is beautiful
her fingers wandering - her hands are anxious
blossoms an apple-tree and a horde of birds - she is young and her hair is bright
calling him to the garden - calling him to come with her garden in her dreams

Subject C2

garden - Garden of Eden
breasts - flowers (simile)
tree - Tree of Life
birds grumble - her sexuality, her spirituality

Subject C3

tower - Gothic symbol of Romance
twin buds opening - comparison with flower petals
that are very delicate - sexual/romantic connotation
an apple-tree - different symbols - pastoral reference
the well - a place to quench one's thirst - another
pastoral reference - refresh the weary traveller
horde of birds nested in close thickets of hair
grumble in dreamy dissonance - the birds are perhaps
complaining of something, a horde of birds has
a more menacing quality than a flock of birds -
they are calling him to the garden, which can have
an interesting sexual connotation (if he dares go
there)

Subject C4

enhanced in a tower - in one's own world - separate
from the others
asleep - not truly aware
dreaming of him - projecting her thoughts, which
arouse her sexually (twin buds of her breasts)
her fingers... - arousing herself physically
past the well - receptacle - vagina
blossoms an apple-tree - tree of life - ready to become
pregnant
horde of birds...etc. - longing for union
calling to garden - garden - to her body to enjoy
physical and psychological beauties and union

Subject C5

Salvatore Dali's garden, surrealism of a woman in
love using objects in a garden as personification
tower - the young lady is not in a tower but dreaming
of this locale, it is metaphorical in terms of a
dream
twin buds opening like flowers - metaphor and simile -
She is in love deeply. When in love, women's
nipples expand - expansion of nipples
fingers leafed - turning and folding hair
wandering - circumambulates her hair with her fingers
well, apple-tree, horde of birds - these things do
not literally exist in her but are symbolic of
textures, weaves and slyness
nested close thickets - her hair sensually call her
lover in cacaphony to seduce his attention
dream sequence of an enamored body images are used in
personification to call her to her lover

Subject C6

enhanced in a tower - a holy place
garden - garden of Eden
apple-tree - Tree of Life

Subject C7

enhanced in a tower - Medieval symbol for romance
the twin buds of her breasts opening like flowers -
she has beautiful alluring breasts
fingers leafed - she is very aroused
garden - world of romantic things

Subject C8

the twin buds of her breasts - it's a metaphor,
breasts standing for a part of the human body,
it's a kind of personification.
hair, breast, fingers etc. - these are parts of the
body that are compared in the poem with elements
of a garden. The author tries to personify some
elements in the poem. Girls are who are inspiring
him to write this poem. A woman compared to a tree

Subject C9

like flowers (simile) - means she is beautiful, pure,
sweet, probably young
buds - comparison, while she breaths her breasts look
like opening flowers
her fingers wandering - maybe she is nervous, thinking
of him, looking for him
blossoms an apple-tree - again comparison of things in
nature
birds nested in her hair - birds give an image of pre-
mature, simplicity, which gives happiness
hair - trees
garden - herself or the place where she is

Subject C10

buds of her breasts - she's young, beautiful and
can be compared to a flower
her fingers leafed - her fingers are always moving
in the close thickets of hair - hair is bushes
garden - her body, Garden of Eden

Subject C11

garden - Eden
apple-tree - Tree of Life
the woman - about man's weakness (seduction) making
him mortal

Subject C12

garden - Garden of Eden
apple-tree - Tree of Life - Bible
Thickets of her hair... - she has become synonymous
with the garden - place of eternity.
Asleep/dream - an unreal world (God - Christianity)

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